



Europäisches  
Patentamt

European  
Patent Office

Office européen  
des brevets

REC'D 23 SEP 2004

WIPO PCT

Bescheinigung

Certificate

Attestation

Die angehefteten Unterlagen stimmen mit der ursprünglich eingereichten Fassung der auf dem nächsten Blatt bezeichneten europäischen Patentanmeldung überein.

The attached documents are exact copies of the European patent application described on the following page, as originally filed.

Les documents fixés à cette attestation sont conformes à la version initialement déposée de la demande de brevet européen spécifiée à la page suivante.

Patentanmeldung Nr. Patent application No. Demande de brevet n°

03015024.7

**PRIORITY  
DOCUMENT**  
SUBMITTED OR TRANSMITTED IN  
COMPLIANCE WITH RULE 17.1(a) OR (b)

Der Präsident des Europäischen Patentamts;  
Im Auftrag

For the President of the European Patent Office

Le Président de l'Office européen des brevets  
p.o.

R C van Dijk

BEST AVAILABLE COPY



Anmeldung Nr:  
Application no.: 03015024.7  
Demande no:

Anmeldetag:  
Date of filing: 02.07.03  
Date de dépôt:

Anmelder/Applicant(s)/Demandeur(s):

CoreOptics, Inc.,  
c/o The Corporation Trust Center  
1209, Orange Street  
City of Wilmington,  
County of New Castle,  
19801 Delaware  
ETATS-UNIS D'AMERIQUE

Bezeichnung der Erfindung/Title of the invention/Titre de l'invention:  
(Falls die Bezeichnung der Erfindung nicht angegeben ist, siehe Beschreibung.  
If no title is shown please refer to the description.  
Si aucun titre n'est indiqué se referer à la description.)

Method for channel estimation and symbol detector for optical receiver

In Anspruch genommene Priorität(en) / Priority(ies) claimed /Priorité(s)  
revendiquée(s)  
Staat/Tag/Aktenzeichen/State/Date/File no./Pays/Date/Numéro de dépôt:

Internationale Patentklassifikation/International Patent Classification/  
Classification internationale des brevets:

HO4B10/14

Am Anmeldetag benannte Vertragstaaten/Contracting states designated at date of  
filling/Etats contractants désignées lors du dépôt:

AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL  
PT RO SE SI SK TR LI

02 Juli 2003

Method for Channel Estimation and Symbol Detector for Optical Receiver

The present invention pertains to high-speed optical fiber communication systems and in particular to methods for Channel estimation and symbol detectors for optical receivers, for improving the bit error rate (BER) when detecting symbols received via 5 channels suffering from both severe signal distortion causing undesired inter-symbol interference of several symbols and from severe noise.

According to a specific aspect, the invention pertains to the preamble parts of claims 1 and 21 which is known from US 5,313,495, "Demodulator for symbols transmitted over a cellular channel" and US 5,263,053, "Fractionally spaced maximum likelihood 10 sequence estimation receiver".

According to another aspect, the invention pertains to the preamble parts of claims 2 and 22 which is known from W. Sauer-Greff, A. Dittrich, et al. "Adaptive Viterbi Equalizers for Nonlinear Channels" SIPCO, 2000, 25-29, (later referred to as "Sauer00").

15 In a digital communication system symbols are transmitted, where typically a number of  $2^n$  symbols are used. In the binary case (n=1), there are two different symbols, designated logic 0 (zero) and logic 1 (one).

High-speed optical fiber-communication systems comprise in particular Single-channel systems including SDH and SONET, DWDM systems, CWDM systems and 20 Systems for dynamically switched OTN (G.709 and related).

A conventional high-speed optical fiber communication system as shown in Fig. 17 comprises a transmitter 1, an optical channel 4 and a receiver 10. State of the art transmitters typically comprise a forward error correction (FEC) encoder 2 and a modulator 3. A state of the art receiver 10 comprises a physical interface 11, a 25 limiting amplifier (LA) 210, a clock and data recovery circuit 211 and a FEC decoder 18.

At the receiver side of the optical link the optical signal comprising received analog data  $r(t)$  is input into receiver 10. Receiver 10 comprises physical interface 11 which performs an optical-to-electrical (O/E) conversion. The analog electrical signal is 30 input into limiting amplifier 210. Both, the physical interface 10, limiting amplifier 210

and CDR circuit 211 have an upper cut-off frequency. Both cut-off frequencies are usually significantly higher than  $1/(2T)$ , T being the symbol period, in order to keep inter symbol interference low. On the other hand too much excess bandwidth in excess over the required minimum picks up more noise from the optical link 4, which 5 degrades the receiver performance by increasing the bit error rate. In typical receiver designs an excess bandwidth of 50% to 100% is therefore provided (S. U. H. Qureshi, "Adaptive equalization", Proc. IEEE, Vol. 73, 1985, pp. 1349-1387, later referred to as "Qureshi85").

The optical link comprises optical fibers, which attenuate the optical signal and in 10 addition constitute a dispersive channel. In order to compensate for the attenuation the optical link may comprise optical amplifiers comprising Erbium-doped fibers, which add noise to the optical signal thereby degrading the signal-to-noise ratio.

In state of the art dense wave division multiplexer (DWDM) systems the optical signal suffers from sever signal distortions that are caused by chromatic dispersion 15 or group velocity dispersion (GVD), polarization mode dispersion (PMD), self-phase-modulation (SPM), four-wave-mixing (FWM), cross-phase modulation (XPM), and polarization dependent loss (PDL). These kinds of distortions cause inter-symbol interference (ISI).

Conventional receivers for high-speed fiber-optical communication systems employ 20 a decision circuit that operates only under "open eye" conditions, i.e. when the "eye diagram" at the decision circuit allows a choice of sampling phase and threshold such that a hard binary symbol decision can be made with sufficiently low error rate (cf. E. Voges, K. Petermann, (Eds.), "Optische Kommunikationstechnik", Springer, Berlin Heidelberg, 2002; G. Keiser, "Optical Fiber Communications", 3rd ed., 25 McGraw-Hill, 2000; G. P. Agrawal, "Fiber-Optic Communication Systems", 2nd ed., Wiley, New-York, 1997).

Moreover optical links suffer from varying received optical power by tens of dB and 30 imperfect e. g. band-limited or chirped transmitters. In addition communication channels may be time-variant and ensemble-variant, which results in varying distortion, ISI, noise and optical effects.

It is well known that a maximum-likelihood sequence detector (MLSD) is the optimum detector if the receiver has perfect knowledge about the channel. However interestingly, K. M. Chugg, A. Polydoros showed ("MLSE for an Unknown Channel - Part I: Optimality Considerations", IEEE Trans. Commun. Vol. 44, 7, 1996, 836-846 5 later referred to as "Chugg96") that there is no well-defined jointly optimal estimate of both an unknown linear channel and data sequence in the maximum-likelihood sense. Hence, following the de-facto conventions in the literature e.g. M. Gosh, C. L. Weber, "Maximum-likelihood blind equalization", Opt. Eng. Vol 31, 6, 1992, 1224-1228 (later referred to as "Gosh92"), in the following the term "optimal" or "optimized" 10 is used in a somewhat loose sense. What is meant is that a solution of minimized BER is sought within some practical framework or solution space, not excluding the case that in a slightly modified framework even lower BER might be achieved.

MLSDs are mostly implemented using the Viterbi algorithm (VA), originally proposed by A. J. Viterbi in "Error Bounds for Convolutional Codes and an Asymptotically 15 Optimum Decoding Algorithm" (IEEE Trans. Inf. Theory, IT-13, pages 260 to 269, April 1967) for decoding convolutional codes (confer Shu Lin, Daniel J. Costello Jr., "Error Control Coding: Fundamentals and Applications" Prentice-Hall, Inc., Englewood Cliffs, New Jersey 07632, 1983).

The Viterbi algorithm may also be used for channel equalization in order to cope 20 with ISI. On a binary ISI channel, at a channel memory of  $m$  bits, there are  $2^m$  states corresponding to all possible bit sequences of length  $m$  and 2 transitions entering and leaving each state, i.e. there are  $2^{m+1}$  transitions between successive stages or time units in the trellis.

In an initializing step of the Viterbi algorithm beginning at an initial stage a path 25 metric for a single path entering each state at the initial stage is computed. Each transition between states corresponds to a symbol. The path and its path metric is stored for each state.

The Viterbi algorithm further comprises a repeating step. In the repeating step the path metric for all the paths entering a state at a stage is computed by adding the 30 branch metric entering that state to the metric of the connecting survivor at the state of the preceding stage. For each state the path with the largest path metric, called

survivor path, is stored together with its path metric, and all other paths are eliminated.

A log-likelihood function  $\log P(r|v)$  is called the metric associated with the path  $v$  and is denoted  $M(r|v)$ . The metrics to be chosen depend on the properties of the 5 transmission path. They may e.g. be obtained from measurements of signal statistics (noise), or from a priori knowledge. The metrics may be assumed to be time invariant and listed in a look-up table for each transition from one state to another for a special application or it may be obtained from on-line measurements which will be explained in more detail in connection with Sauer00.

10 More recently, it became desirable to operate optical links under conditions in terms of distortions and noise that would lead to a closed eye due to ISI at the detection circuit (cf. e.g., ECOC and OFC, annual conferences). Most approaches to solving this problem use either optical or electrical equalizers to **compensate ISI** in order to "open" the closed eye at the detection circuit. These approaches are mostly based 15 on sub-optimal methods of equalization; namely linear<sup>1</sup> feed-forward equalization (FFE), decision-feedback equalization (DFE), or a combination of both, FFE and DFE (Cf. e.g. K. Azadet, et al., „Equalization and FEC Techniques for Optical Transceivers“, IEEE J. Solid State Circuits, Vol. 37, 3, 2002, 317-327 23; Bohn, Mohs, et al., „An Adaptive Optical Equalizer Concept for Single Channel Distortion 20 Compensation“, ECOC 2001; K. Sticht, et al., „Adaptation of “Electronic” PMD Equaliser Based on BER Estimation Derived From FEC Decoder“, ECOC 2001 (later referred to as "Sticht01"); F. Buchali, H. Bülow, W. Kuebart, „Adaptive Decision Feedback Equalizer for 10 Gbit/s Dispersion Mitigation“, ECOC 2000; S. Otte, W. Rosenkranz, „Performance of Electronic Compensator for Chromatic Dispersion & 25 SPM“, ECOC 2000; H. Bülow, F. Buchali, G. Thielecke, „Electronically Enhanced Optical PMD Compensation“, ECOC 2000; H. Bülow, „Electronic PMD Mitigation – from Linear Equalization to Maximum-Likelihood Detection“, OFC 2001).

Only some publications (e.g. US 2002/0080898 A1, "Methods and systems for DSP-based Receivers" and H. Haunstein; A. Dittrich et al. „Implementation of near- 30 optimum electrical equalization at 10 Gbit/s“, ECOC 2000, later referred to as "Haunstein00") either discuss or investigate the use of a theoretically optimum maximum-likelihood receiver, which, in this context, is also referred to as MLSE

equalizer. Strictly speaking, there is no explicit equalization step in a MLSD. It is, however, conventional to call a MLSD a Viterbi equalizer. However, these approaches are rarely used in practice, probably because this receiver type is commonly believed to be too complex as outlined in Qureshi85, in particular p. 1370.

5 And notably, in optical communications, MLSD receivers so far have only been discussed as symbol spaced solutions, which are believed to have no severe sampling phase dependence (cf. Sticht01).

With the advent of the so-called optical transport network (OTN), forward error correction (FEC) schemes are now conventionally used to provide **improved tolerance against noise** resulting from both optical amplifiers in the transmission channel and receiver. E.g. a 16 times interleaved (255,239) Reed-Solomon code has been standardized in OTN recommendation G.709 of the ITU (International Telecommunication Union). More recently, even stronger FEC schemes are conventionally used, which can work with pre-decoding BER as high as e.g.  $10^{-3}$  (Cf. 10 ECOC and OFC). When BER estimation is used for optimization of some receiver parameters, this BER estimation is conventionally computed in a FEC decoder (e.g. 15 Sticht01).

In addition to the usual white Gaussian noise model, in optical receivers noise correlation occurs (caused e.g. by noise coloring in receive filters or by DWDM 20 channel interferers), and noise may be signal-dependent, especially in optically amplified systems. For MLSD receivers, noise correlation and signal dependent noise can be handled for special noise models, as is discussed in the context of magnetic recording (A. Kavcic, J.M.F. Moura, "The Viterbi Algorithm and Markov Noise Memory", IEEE Trans. Inform. Theory, IT-46, 1, 2000, 291-301 (later referred 25 to as Kavcic00); A. Kavcic, J.M.F. Moura, "Correlation-sensitive adaptive sequence detection", IEEE Trans. Magn., Vol. 34, 1998, 763-771 (later referred to as Kavcic98)), albeit restricted to the symbol-spaced receivers and to Gaussian noise processes.

Conventional high-speed-clock-recovery-circuits for broadband systems can even—  
30 fail for severely distorted signals under noise. However, when they work, they will in general provide a sub-optimum sampling phase, which calls for controlled sampling phase adjustment as is shown in e.g. Sticht01. For carrying out this invention it is—

assumed that some state of the art clock recovery subsystem (see Fig. 2, CR 14) is available that is able to recover a clock with approximately fixed but otherwise arbitrary phase relation to the transmit clock. The remaining, non-trivial, problem then is to find a sampling phase that leads to minimum BER or to near-minimum 5 BER. Especially for distorted input signals, it is neither assumed nor required that the raw sampling phase as recovered by clock recovery is a BER-optimal sampling phase.

Unlike e.g. in mobile wireless communication, in optical communications the receiver must often adapt to the received signal without the use of a training sequence. 10 Moreover, several effects causing distortion are significantly time-variant albeit not extremely fast. In essence, the receiver is faced with a difficult **adaptive blind equalization problem** i. e. both the transmitted data sequence and the transmission channel properties are unknown. In principle, there are several known approaches to the blind equalization problem e. g. the Bussgang algorithm, Higher-Order 15 Statistics and joint channel and data estimation, all basically using a nonlinearity to generate some substitute for the missing reference or training signal. All except the probabilistic estimation methods make use of a linear filter model of the channel.

According to Simon Haykin, "Adaptive Filter Theory", 4<sup>th</sup> edition, Prentice-Hall, 2001, for blind equalization the problem of ensuring convergence to the global BER 20 minimum is an open problem. Prototypical for many blind equalization solutions that have been described for certain, e.g. wireless applications, the so-called sequence feedback (cf. J. W. M. Bergmans, "Digital Baseband Transmission and Recording", Kluwer Academic Publishers, Dordrecht, 1996) or PSP approaches (Chugg96; R. Raheli, A. Polydoros, C.-K. Tzou, „Per-Survivor Processing: A general Approach to 25 MLSE in Uncertain Environments, IEEE Trans. Commun. Vol 43, 2/3/4, 1995, 354-364, later referred to as "Raheli95") to channel estimation, due to its complexity, are not suitable for high-speed optical communication receivers.

An integral part of most equalizer solutions, including MLSD equalizers as disclosed 30 e.g. in US 5,313,495 and US 5,263,053 is the concept of an error signal that is based on synthesizing a desired hypothetical channel response, given a current linear channel model estimation, tentative decisions made in the detector and the actually received signal. This hypothetical response and the actually received

response are compared and used to derive error signals or decision metrics. Such an error signal and the derived metrics then incorporate mainly the effects of noise, plus the effects of residual mis-equalization i.e. of imperfections of the channel model. Residual mis-equalization is sometimes referred to as convolutional noise.

5 However, as discussed e.g. in Haunstein00, an explicitly linear channel model is fundamentally inappropriate for the nonlinear optical channel employed in intensity-modulated signaling with direct-detection square-law receivers.

It is still believed that a training sequence is required in optical communications for channel acquisition (Haunstein00; A. Dittrich, M. Siegrist, W. Sauer-Greff, R.

10 Urbansky, „Iterative Equalization for Nonlinear Channels with Intersymbol Interference”, Kleinheubacher Berichte, 2001).

In contrast to most estimation methods that estimate the parameters of an explicit filter channel model, EP 1 139 619 A1, “Channel estimation using a probability mapping table” describes a very interesting implicit channel/estimation method for 15 sequence estimation, based on histogram sets: These histograms represent sample amplitude statistics conditioned on channel state and are used to derive branch metrics for a MLSD. The scheme described, however, is limited to symbol spaced processing and describes only the case of a sample depending on preceding symbols. Moreover, the application fails to disclose any suitable method for 20 initializing such a receiver (blind acquisition), which implies the need for training.

More specifically, Sauer00 discloses an adaptive Viterbi equalizer for non linear channels. For white noise and equally probable symbol sequences an MLSE minimizes the sequence error probability. The received analog input signal is sampled at the symbol rate  $T$  after analog processing by a matched filter. It is 25 assumed that consecutive samples are statistically independent and a sample depends on  $L+1$  symbols only due to ISI. The metric increments being equivalent to the logarithm of channel transition probabilities describe the statistical properties of the transmission channel and do not depend on assumptions like linearity or Gaussian probability density function; they are pre-computable or result from 30 measurement. A look up table may be provided which is addressed by  $q$  quantized input bits and  $L+1$  bits for the channel state in order to obtain the metric increment. The look up table may be based on measurements. The probabilities can be

approximated by relative frequencies of occurrence, i.e. the number of occurrence of the event, that for a certain channel state (current and L previous symbols) the sampled output is within a quantization interval associated with q quantized input bits per total number of trials. After a sufficient long accumulation period the 5 logarithms of the event counts normalized to the accumulation period yield the look up table entries. Thereby precaution against zero event counts has to be implemented e.g. by interpolation. To set up the look up table for unknown channels, a known training sequence, addressing all different channels states has to be transmitted for a sufficient long period. To update the conditional probabilities 10 during normal data transmission, memory cells are addressed using the estimated states resulting from the MLSE output.

Haunstein00 and EP 1 139 619 A1 written partly by the same authors or inventors, respectively disclose similar subject matter.

Kavcic98 discloses both "leading and trailing ISI lengths" corresponding to pre- and 15 postcursor symbols in the context of magnetic recording restricted to the symbol-spaced receivers and to Gaussian noise processes.

US 5,313,495 discloses a demodulator for symbols transmitted over a digital cellular channel. It comprises a MLSE which is implemented using a Viterbi algorithm. Cellular channels suffer from multi-path fading. The Viterbi equalizer may require 20 excessive computation overhead when estimating symbols which are subject to an ISI. In cellular communication systems, because geographic changes of the transmitter are frequent and unpredictable, fading and ISI become excessive and the use of a Viterbi equalizer requires that an algorithm be employed which implements 16 or 64 states. A simpler four-state Viterbi equalizer using a first order 25 least means square channel estimator only marginally meets the BER requirements for the cellular system. The higher-order, such as 16 or 64 state Viterbi equalizer will require a prohibitive amount of computation. Therefore a four state Viterbi equalizer is provided together with over sampling the signal at twice the normal symbol rate. In addition to calculating the branch metrics based on two samples, channel 30 estimation is based on over sampled symbol data.

Also US 5,263,053 discloses a fractionally spaced maximum likelihood sequence estimation receiver. An embodiment is described in connection with  $\pi/4$ -shifted

differential quadrature phase-shift-keying ( $\pi/4$ -DQPSK) transmission which has been proposed for digital transmission using cellular telephones. Due to the multi-path characteristic ISI distortion and noise corruption do occur. For the MLSE the Viterbi algorithm is used. The state of a channel can be thought of representing the last L symbols that have been applied to it at any particular time where the channel memory length is L symbol periods before the present symbol. Two fold oversampling is performed.

It is the object of this invention to optimize the bit error rate of a digital signal received via an ISI-impaired, noisy channel.

This object is achieved by the subject matters of the independent claims.

Preferred embodiments of the invention are the subject matter of the dependent claims.

It is advantageous to decide a symbol with the help of both, precursor and postcursor energy since typical dispersion of optical fibers which may be symmetrical broadens a symbol to overlap with both, preceding and following symbols.

A fractionally spaced maximum-likelihood sequence detector is advantageous for compensating inter symbol interference since the various kinds of dispersions of optical fibers result in a continuous broadening of one symbol into the neighboring symbols.

The various kinds of dispersions of the optical channel result in a continuous broadening of the symbols and consequently in ISI. Especially in connection with excess bandwidth a fractional ISI compensation provides better performance, requires fewer symbols to be allowed for in the ISI compensation and as a consequence requires less computation resources for providing an equivalent performance.

Obtaining branch metrics from detected symbols advantageously automatically adapts the branch metrics to the channel actually used. So this way of updating the

branch metrics provides a practical solution for the blind acquisition problem of optical channels.

Fitting a model distribution to counter values proportional to the frequencies measured eliminates runaways and in particular eliminates counter values of 0 which have to be replaced by a low value in order to avoid an error when a logarithm is calculated therefrom in order to obtain the branch metrics. Two-fold oversampling is feasible even in high frequency applications and results only in a moderate cost increase compared to symbol sampling.

In an embodiment each event is defined by a channel state and a digital word independently of the sampling phase or time. This on the one hand ignores the relation between the sampling phases and on the other hand leads to a simple implementation. Moreover counting each kind of events results in higher counter values compared to more sophisticated methods. In particular the later point results in better statistics even after short accumulation periods:

15 Distinguishing between a first kind of events relating to a first sampling time and a second kind of events relating to a second sampling time-conditioned on the digital word measured at the first sampling time accounts for the correlation of sampling values for the same symbol obtained at different sampling times.

In order to improve the sampling statistics for the counter values relating to the second sampling phase, the digital words obtained at the first sampling phase may be grouped into subsets. The number of subsets is smaller than the number of possible digital words and a so-called coarse digital word is associated to each subset. In this embodiment a second event is defined by a channel state, a digital word obtained at the second sampling phase conditioned on a coarse digital word.

25 In another embodiment, which allows for the correlation of the different samples obtained for the same symbol, only one kind of events is counted which is defined by a channel state and a digital word for each sampling phase. In the case of two-fold oversampling this embodiment only requires as much counts are required for counting the second kind of events for example obtained at the second time conditioned on the sample obtained at the first sampling time. Moreover, the branch metric calculated from the counter values constitute total branch metrics. So this

embodiment does not require an addition of sample branch metrics in order to obtain (total) branch metrics.

Providing the adjustment of sampling times into a quasi-continuous delay of the sampling clock and a discrete sampling phase adjustment shortens the delay range 5 for the sampling clock and thereby is much easier to implement.

Proper adjustment of the sampling times or phases lowers the BER. Adjusting the sampling phase based on bit error rate estimates leads to an optimum bit error rate by definition.

Also the adjustment of the sampling phase by maximizing a population difference 10 parameter results in at least near optimum BER.

An idle period between two consecutive accumulation periods can be reduced if additional circuitry is provided for performing the counting of each kind of events in parallel to the calculating of branch metrics for the channel statistics accumulated during the previous accumulation period.

15 Blending the old branch metrics with new branch metrics using a forgetting factor may be considered as extending the averaging period over the accumulation period. This speeds up the adaptation of the branch metrics to new channel conditions because the accumulation period can be shorter than a necessary averaging period. This is in particular relevant for the embodiments counting a large number of events due to bad 20 statistics. Moreover, such a way of updating reduces the danger of oscillation between two independent meta-stable channel models when calculating the branch metrics in parallel to the counting.

Blending old branch metrics with newly calculated branch metrics is mathematically less correct, but it is acceptable if only small changes are expected. In this 25 embodiment it is not necessary to save the old counter values used for calculating the old branch metrics.

---

Due to the non-linear nature of any logarithm it is more correct to blend old and new counter values and calculate the branch metrics from the blended counter values.

---

Setting the branch metrics for the channel states for isolated 0's and 1's to identical values when initiating the branch metrics constitutes a generic channel model which provides good convergent behavior in, both low and high dispersion cases.

Setting the branch metrics for channel states being symmetrical to each other to 5 identical values provides a good starting point for dispersion affecting precursor and postcursor symbols in a similar manner.

Monitoring for an abnormally high bit error rate and/or pathological amplitude statistics allows re-initialization with a hopefully more appropriate set of branch metrics.

10 In the following preferred embodiments of this invention are described referring to the accompanying drawings. In the drawings:

Fig. 1 shows a block diagram of an optical fiber communication system.

Fig. 2 shows a more detailed circuit diagram of the clock recovery circuit.

Fig. 3 shows a bit rearranging circuit.

15 Fig. 4 shows a trellis for a MLSD.

Fig. 5 illustrates the branch metric computation for different embodiments.

Fig. 6 shows a set of frequencies or counter values used for the calculation of a channel model.

20 Fig. 7 shows the partial branch metrics of a channel model for which the samples of different sampling phases are assumed to be independent.

Fig. 8 shows the partial branch metrics of a channel model specific for the first sampling phase.

25 Fig. 9 shows the partial branch metrics of a channel model specific for the second sampling phase conditioned on the previous sampling value  $r_1$  obtained at the first sampling phase.

Fig. 10 shows the branch metrics of a channel model specific for the second sampling phase conditioned on the previous sampling value  $r_1$  obtained at the first sampling phase.

5. Fig. 11 shows the partial branch metrics of a channel model specific for the second sampling phase conditioned on the previous coarse sampling value  $R(r_1)$  obtained at the first sampling phase.

Fig. 12 illustrates the application of a channel model.

Fig. 13 illustrates an update cycle for parallel accumulation and branch metric computation.

10 Fig. 14 shows a level crossing of isolated ones.

Fig. 15 shows a starting histogram.

Fig. 16 shows a method for channel monitoring and selection of an appropriate starting histogram.

15 Fig. 17 illustrates a conventional high-speed optical fiber communication system.

#### Abbreviations

a.k.a.: Also known as	30 DFE: Decision-Feedback Equalizer
ACS: Add-Compare-Select	DGD: Differential Group Delay
ADC: Analog-To-Digital Conversion	DLL: Delay Locked Loop
20 AGC: Automatic Gain Control	DMUX: Demultiplexer
APD: Avalanche Photo Diode	DSP: Digital Signal Processor
BER: Bit Error Rate	35 DWDM: Dense Wavelength Division Multiplexing
BMU: Branch Metric Unit	ECOC: European Conference on Optical Communication
BRC: Bit rearranging circuit	FEC: Forward Error Correction
25 CDR: Clock and Data Recovery	40 FFE: Feed-Forward Equalizer
CE: Channel Estimation	FS MLSE: fractionally spaced MLSE
CR: Clock Recovery	FWD: Frequency Window Detector
CWDM: Coarse Wavelength Division Multiplexing	

FWM:	Four-Wave-Mixing	25	PLL:	Phase Locked Loop
GVD:	Group Velocity Dispersion		PIN:	Positive Intrinsic Negative (doping structure)
HOS:	Higher Order Statistics		PMD:	Polarization Mode Dispersion
HW:	Hardware		PSP:	Per-Survivor Processing
5 ISI:	Inter-Symbol Interference	30	r.m.s.:	Root mean square
ITU:	International Telecommunication Union		SDH:	Synchronous Digital Hierarchy
LA:	Limiting amplifier		SIPCO:	Signal Processing Conference
LF:	Loop Filter		SMU:	Survivor Metric Unit
10 LOS:	Loss Of Signal		SONET:	Synchronous Optical Network
MAP:	Maximum A-Posteriori Probability	35	SOS:	Second-Order Statistics
MLSD:	Maximum-Likelihood Sequence Detector		SPA:	Sampling Phase Adjustment
15 MLSE:	Maximum-Likelihood Sequence Estimator		SPM:	Self-Phase Modulation
MUX:	Multiplexer		SW:	Software
NRZ:	Non-Return-to-Zero	40	TBU:	Trace Back Unit
OSNR:	Optical Signal-To-Noise Ratio		TED:	Timing Error Detector
20 OTN:	Optical Transport Network		TF:	transversal filter
PD:	Phase-Detector		TIA:	Trans-Impedance Amplifier
PDL:	Polarization Dependent Loss		VA:	Viterbi Algorithm
PFLL:	Phase / Frequency Locked Loop	45	VGA:	Variable Gain Amplifier
			VCD:	Voltage Controlled Delay
			VCO:	Voltage Controlled Oscillator
			XPM:	Cross-Phase Modulation

50

### Mathematical Symbols

a:	source data	i:	current symbols
b:	channel state vector	60	j:
BM:	branch metric		number of postcursor symbols
c:	count		k:
55 d:	encoded data		index of consecutively calculated sets of BM
f:	frequency		L:
F:	forgetting factor	65	oversampling factor
h:	number of precursor symbols		i:
			Index for sample within one symbol; $i \in 1 \dots L$

M:	number of states in Viterbi detector	S:	number of different symbols
N:	number of symbols defining the channel state	T:	symbol time
5 Q:	number of distinguished quantization values ( $2^R$ )	y(t):	sent analog data
q:	0, 1, ..., Q-1	15 $r_{i,j}$ :	(oversampled) quantized data $q \in 0 \dots Q-1$
r(t):	received analog data	$r'_{i,j}$ :	associated (oversampled) quantized data $q \in 0 \dots Q-1$
R:	resolution (in bits) of the 10 quantizer	u <sub>i</sub> :	Detected (undecoded) data
s:	channel state index	20 x <sub>i</sub> :	Decoded data

While the present invention is described with reference to the embodiments as illustrated in the following detailed description as well as in the drawings, it should be 25 understood that the following detailed description as well as the drawings are not intended to limit the present invention to the particular illustrative embodiments disclosed, but rather the described illustrative embodiments merely exemplify the various aspects of the present invention, the scope of which is defined by the appended claims.

30 In particular, the receiver concept described in this application is motivated by but not limited to fiber optical communication. It can be applied for any digital baseband communication system with a-priori unknown multi-symbol ISI that extends over a moderate number of symbols. An optical receiver comprising an inventive digitizer can operate with an acceptable OSNR penalty of below 8dB. At a data rate of 35 10.7Gbit/ it can work e.g. in a range of -3500 ps/nm to 3500 ps/nm residual GVD or up to about 240 ps instantaneous (first order) DGD. Several sources of distortion can occur simultaneously, e.g. GVD combined with PMD, at mutual expense of their OSNR penalty contributions. The M=4 receiver will work as long as dominant (within quantizer accuracy) parts of the impulse response do not spread significantly 40 beyond a total width of three symbol periods. This enables up to 200km optically amplified metro links without dispersion compensation.

Fig. 1 shows an optical transmission system. It comprises a transmitter 1, an optical channel 4 and a receiver 10. A typical transmitter 1 comprises an FEC-encoder-2-for-

encoding input data  $a_i$  in order to generate encoded data  $d_i$  which is forwarded to a modulator 3. The modulator 3 generates an optical signal comprising sent analog data  $y(t)$  constituting the output of transmitter 1. There is no low-pass filter for explicitly band-limiting the spectrum in the baseband before modulation. Neighbour 5 channels of DWDM systems are separated in the optical domain by optical bandpass filters.

The optical signal is transmitted via optical channel 4 to receiver 10.

At the receiver side of the optical link received analog data  $r(t)$  is input into receiver 10. The receiver 10 comprises a physical interface 11, a AGC or variable gain 10 amplifier (VGA) 12, an ADC 13, a clock recovery (CR) 14, a sampling phase adjustment (SPA) circuit 15, an MLSD 17, a FEC decoder 18, a channel statistic unit 19 and a receiver control node 20. In addition receiver 10 may comprise a bit rearranging circuit (BRC) 16 in particular if the delay range of SPA circuit 15 is smaller than a symbol period.

15 The physical interface 11 performs an optical-to-electrical (O/E) conversion. The physical interface is a standard PIN or APD optical front-end with trans-impedance amplification (TIA). The physical interface also acts as an implicit low-pass filter for the received analog data.

The analog serial signal data at the output of a PIN or APD optical front-end is 20 amplified by a high-gain high-dynamic, low-noise automatic gain control (AGC) circuit 12. The output signal of AGC 12 is designated  $\tilde{r}(t)$ . The AGC circuit 12 may amplify the analog electrical signal to a constant level in terms of peak-to-peak voltage, average rectified voltage or root-mean-square voltage. In another embodiment the amplification of AGC circuit 12 may be controlled by control unit 25-receiver-control-node 20 based on quantized data  $r_i$  (cf. US 3,931,584, "Automatic

Gain Control") for fine-grained control of the amplification. In the latter case it is more appropriate to designate unit 12 as a variable gain amplifier (VGA). The control of the VGA may be based on frequencies of peak digital values  $r_i$  (cf. US 2002/0113654 A1) or on a frequency of digital values  $r_i$  within a digital value range 30 (cf. US 3,931,584). In another embodiment, a coarse and a fine VGA circuit may be provided. These circuits may be controlled by one of the methods disclosed in co-pending European patent application number 03009564.0, "Method for controlling

amplification and circuit", which has also been filed by CoreOptics and is incorporated herein by reference. Based on the statistic data provided by channel statistics unit 19 the receiver control node 20 may obtain peak data (cf. US 3,931,584) or calculate a uniformity parameter, in compliance with EP03009564.0 for adjusting the gain of AGC/VGA circuit 12. In any embodiment the variable amplification of AGC/VGA 12 maps the input signal into the input voltage range of the ADC 13 and CR 14.

The ADC 13 digitizes the analog signal  $\tilde{r}(t)$  and outputs quantized data  $r_i=r_{i,1}$ . Index  $i$  refers to symbols and index 1 to different sampling phases. Index 1 may assume the values 1 to L for L-fold oversampling. The ADC 13 receives a sampling clock from SPA circuit 15 which in turn receives a sampling clock from clock recovery subsystem 14, which will be explained in more detail in connection with Fig. 2. The SPA circuit 15 operates as an adjustable delay in order to optimize the phase of the clock which is to say to optimize the sampling times of ADC 13.

15 If the receiver shown in Fig. 1 does not perform over-sampling, the clock recovery subsystem 14 recovers the symbol frequency. Sampling is performed either on the falling or rising clock edge of the clock inputted into ADC 13. If two fold oversampling is performed the clock recovery subsystem 14 may also recover the symbol frequency. In this case the ADC 13 samples at both, the rising and falling clock edges. In the general case of L-fold oversampling a frequency L times higher than the symbol frequency is recovered. Alternatively, for L-fold oversampling, multiphase clocks can be used i. e. L clocks each having symbol frequency but a different phase. If in the case of multiphase clocks both falling and rising edges are used for sampling, L clocks may have half symbol frequency or  $L/2$  clocks may have symbol frequency.

The receiver control node 20 in connection with channel statistics unit 19 may perform a method similar to the disclosure of WO 02/30035 A1. Alternatively receiver control node 20 in connection with channel statistics unit 19 and SPA circuit 15 may perform one of the methods disclosed in co-pending European patent application number 03004079.4, "Self-timing method for adjustment of a sampling phase in an oversampling receiver and circuit", which has also been filed by CoreOptics and is later referred to as EP03004079.4. In particular, from the channel

statistics also a population difference parameter may be calculated for performing phase adjustment as disclosed in this co-pending European patent application, which is incorporated herein by reference.

Finally the receiver control node 20 may obtain bit error estimates from MLSD 17 or 5 FEC decoder 18 for optimizing the amplification of AGC/VCA circuit 12 or the phase by controlling SPA circuit 15. Receiver control node 20 may perform a gradient search in order to minimize the bit error estimates. As bit error estimate an unreliable detection event as described in co-pending European patent application number 03002172.9, "Error rate estimation method for a receiver and receiver 10 apparatus", which has also been filed by CoreOptics, may be used. European patent application number 03002172.9 is incorporated herein by reference. In one embodiment the ADC 13 has a three bit resolution corresponding to eight distinguished quantization levels. In other embodiments the ADC resolution may be different e.g. two, four or eight bits corresponding to four, 16 or 256 quantization 15 levels.

The ADC 13 may comprise a single sampler sampling the analog signal at the appropriate frequency. The output may be provided serially to MLSD 17. In another embodiment, which is compatible with Fig. 1, the output of an oversampling sampler may be demultiplexed and latched for further processing by bit rearranging circuit 20 16. In another embodiment also compatible with Fig. 1, one sampler may be provided for each sampling phase. Each of the samplers operates at the symbol frequency and may latch its output for further processing by bit rearranging circuit 16.

The quantized data  $r_{i,j}$  are input into bit rearranging circuit 16 which is explained in 25 more detail in connection with Fig. 3. Bit rearranging circuit 16 outputs associated data  $r'_{i,j}$  into MLSD 17. MLSD 17 may implement a Viterbi algorithm (VA) and outputs the most likely sequence designated detected data  $u_i$  to FEC decoder 18. In a typical optical receiver, with a powerful FEC code used, the bit error rate at the output of MLSD 17 ranges e.g. from  $10^{-2}$  to about  $10^{-4}$ . The subsequent FEC 30 decoder 18 further reduces bit error rate to a range between  $10^{-9}$  and  $10^{-16}$  which is required for data transmission. FEC decoder outputs decoded data  $x_i$  for further

processing. MLSD 17 and/or FEC 18 may obtain BER estimates and provide same to control node 20.

Control node 20 receives a loss-of-signal (LOS) signal from physical interface 1 and may receive counter values or event frequency information from statistic unit 1  
5 in order to obtain pre-processed statistics data for controlling the AGC/VGA circuit 12, CR 14, SPA circuit 15 and bit rearranging circuit 16.

The clock recovery subsystem 14 is shown in more detail in Fig. 2. It may be referred to as a phase / frequency locked loop (PFLL). The clock recovery subsystem 14 comprises a phase detector (PD) 31, a loop filter (LF) 32, a voltage controlled oscillator (VCO) 33 and a frequency window detector (FWD) 34.

Initially, phase detector 31 is disabled and the frequency window detector 34 is active. The clock generated by VCO 33 is compared against a local reference clock CLK REF by a digital edge counting process (Cf. WO 02/30035 A1) performed by frequency window detector 34. In this way the frequency window detector 34 drags 15 the VCO frequency into the target frequency window. When this frequency window is reached, FWD 34 is disabled and PD 31 is switched on and locks the clock of VCO 33 in frequency and phase to the received data stream.

Clock recovery subsystem 14 recovers a frequency and "some" sub-optimal phase with a fixed relation to the transmitted symbol stream.

20 For distorted signals, the recovered clock phase in general leads to sub-optimal even very bad BER.

The sampling phase that is delivered from clock recovery subsystem 14 is dynamically adjusted in a delay locked loop (DLL), in a continuous or quasi-continuous way by a delay signal that is originally derived from the channel 25 estimation (cf. European patent application number 03004079.4).

In order to limit the required range of (quasi-) continuous phase shifting within SPA circuit 15, which reduces power consumption, there is a discrete I-T/L, L=1,..., phase justification facility performing samples-to-bit synchronization.

An implementation of the phase justification facility for two-fold oversampling is the bit rearranging circuit shown in Fig. 3. The bit rearranging circuit comprises delay element 41 and multiplexers (MUXs) 42 and 43. The delay element 41 receives the a clock CLK output from ADC 13 which indicates when the ADC 13 outputs valid data. The delay element may be implemented by a flip-flop or shift register, depending on the frequency of the clock CLK. If the clock CLK has symbol frequency as in the embodiment of Fig. 1 a flip-flop is sufficient. The MUXs 42 and 43 are controlled via line SEL by control node 20. Either MUXs 42 and 43 output  $r_{i,1}$  and  $r_{i,2}$ , respectively or MUXs 42 and 43 output  $r_{i-1,2}$  and  $r_{i,1}$ , respectively, as shown 10 in Fig. 3.

The bit rearranging circuit effectively adjusts the association of  $L=2$  samples to one symbol in MLSD 17, at acquisition time. This helps to achieve initially optimum sampling phase in the center of the quasi-continuous shifting range. During channel tracking only quasi-continuous phase shifting by SPA 15 is used, because a large 15 discrete phase step may lead to a loss of the channel model.

The channel estimation is based on decision-directed conditional quantized amplitude statistics, conditioned on a channel state as derived from the detected data  $u_i$ .

A channel state is characterized by the set of channel input symbols that fully 20 determine the received noise-less amplitude in a channel with memory. A channel is said to have channel memory of  $m$  symbols, if the noise-free channel output depends on the combination of one "current" symbol and of  $m$  other pre- and/or post-cursors symbols. In this case, the channel length is  $m+1$ . As usual in equalization of uncoded sequences, the channel state can be represented by a 25 sequence of  $N$  symbols. In a binary embodiment a symbol is equivalent to one bit.

The sequence-of-symbols-comprises-one-considered-or-current symbol  $b_i$ ,  $h$  precursor symbols  $b_{i-h}, \dots, b_{i-1}$ , preceding the current symbol  $b_i$  and  $j$  postcursor symbols  $b_{i+1}, \dots, b_{i+j}$  following the current symbol ( $N=h+1+j$ ). Consequently the channel state at the current symbol  $b_i$  can be described by channel state vector 30  $b_i = (b_{i-h}, \dots, b_{i+j})$ . Provided that there are  $S$  different symbols there are  $S^N$  different channel state vectors. In the embodiments disclosed in connection with Figs. 4 to 12, a channel state is defined by 3 consecutive symbols and a symbol corresponds

to a bit, which may assume the values 0 or 1. A channel state is encoded into transition in the trellis and for each transition a branch metric is calculated; it may be said that each possible channel state for a current symbol is tentatively considered.

In prior art (cf. EP 1 139 619 A1 and US 5,263,053), the channel state is most 5 described as the current symbol plus a number of precursor symbols and the channel output is said to depend on the current and those previous symbols. This misleading, since the best mapping of a channel state to a bit to be decided depends on the nature of interference. For symmetrical pulse dispersion, which broadens a symbol to "diffuse" or "flow" into preceding or following symbols, it 10 best to decide a symbol with the help of both precursor and postcursor energy.

The fractionally spaced MLSD for an un-coded ISI channel works on a canonic symbol-spaced ISI trellis, as shown in Fig. 4. In this trellis, the transitions are labeled in a three-bit notation that can e.g. be interpreted as a previous, a current, and next symbol or bit in time sequence, when read from left to right. The state variable 15 can be thought of as a shift register where a new bit moves in from the right and at the same time the leftmost bit moves out.

However, unlike a symbol spaced MLSD, the fractionally spaced MLSD receives L=2 T/L-spaced samples per symbol (bit) to be detected; which changes the way 20 how metric increments or branch metrics are computed for each possible transition.

As will be described in more detail in connection with Figs. 5 to 9 and 11, the fractionally spaced MLSD may determine a sample branch metric value BM for each of the L=2 samples and combines the L=2 sample branch metric values in order to assign overall branch metric values BM<sub>tot</sub> to the symbol spaced transitions in the trellis.

The branch metric BM<sub>tot</sub> is computed as the sum of the two sample branch metric values as shown in Fig. 5 (cf. equations (2) to (4)). Fig. 5 shows a trellis of the (i-1) symbol period 51 and the ith symbol period 52, the output signal of the AGC  $\tilde{r}$  (53) and the rearranged sample values  $r'_{i,1}$  and  $r'_{i,2}$  at a first sampling time 54 and second sampling time 55. In the simplest case, which is shown in Fig. 7, the two sample 30 branch metric values are added, which neglects a possible correlation between the two samples, for simplicity.

In order to avoid the use of an explicit filter model as disclosed in US 5,313,495 and US 5,263,053, the channel estimation is based on decision-directed conditional quantized amplitude statistics, conditioned on a channel state as derived from the detected sequence.

5 In compliance with the conventions for MLSDs, branch metrics are logarithms of transition probabilities. The branch metrics may be obtained from a complete set of channel-state-conditioned amplitude histograms. An amplitude histogram is a discrete amplitude probability mass distribution (or amplitude distribution, for short) conditioned on channel states at a given sampling phase. Consequently, a channel-  
10 state-conditioned histogram is the amplitude distribution under the condition that the channel is in a given channel state and sampled at a fixed sampling phase. In addition, an amplitude histogram may be conditioned on sample values obtained at different sampling phases. As will be explained in connection with branch metrics below, an amplitude histogram obtained at the second sampling phase may be  
15 conditioned on the value obtained at the first sampling phase. The collection of such histograms for all possible channel states and all used over-sampling phases is called a (probabilistic) channel model. Sometimes it is necessary to distinguish the "complete" and the "phase-specific" channel model. A phase-specific channel model is the subset of a complete (probabilistic) channel model that is restricted to a given  
20 sampling phase. The complete channel model is the complete set of phase-specific (probabilistic) channel models for all L samplers or sampling phases.

Each histogram value is actually a frequency  $f$  or counter value  $c$  for the occurrence of an event. An event is defined by a channel state and one or more quantized associated amplitudes or sampling values within a period of time. Frequencies and  
25 counter values may be assumed to be proportional to estimates for transition probabilities by the weak law of large numbers. As a consequence the branch metrics may be a logarithm  $\ln$  obtained from the measured frequencies or counter values by equation (1):

$$BM(b;r) = \ln(c(b;r)) \quad (1)$$

30 Probabilities are normalized to one i.e. the sum of the probabilities of all possible events is one. The counter values could also be normalized to one by dividing each counter value by the sum of all counter values. However, this operation is not

necessary, since it decreases all branch metrics by the same amount. For finding the most likely path only the differences between the branch metrics influence the result. For the same reason, the base of the logarithm (log, ln, ld) and the difference between frequencies and counter values being the accumulation period is insignificant. There is a one-to-one relation between events and frequencies and counter values. It is assumed that there is also a one-to-one relation between counter values and branch metrics in the embodiments disclosed in the following. However, this is not necessarily the case in general. Statistical information in counter values may be obtained for different purposes than the branch metric calculation. To this end a larger number of events and corresponding count values than the number of branch metrics may be obtained. Before taking logarithm, the values of counters belonging to a subset of counters may be added. There may be more than one subset of counters.

Due to the one-to-one relationship between counter values or frequencies and branch metrics, counter values, frequencies and branch metrics may be arranged a similar fashion and stored in similar data structures (cf. Fig. 6 and 7). Moreover due to the one-to-one relationship the branch metrics may be referred to as channel model.

It must be made sure, that none of the frequencies or counter values of which the logarithm according to equation (1) is taken is equivalent to zero. This may be performed by replacing 0s by low values, by interpolation as explained in Sauer00, by fitting a model to the measured frequencies or counter values as shown in Fig. 12.

A model distribution that is known to be appropriate for the channel in question (e.g. truncated Gaussian for noise limited links or truncated chi-square for optical amplified links) may be fitted to the measured histogram in step 82 after frequencies or counter values are measured in step 81. Then the model distribution is evaluated in step 83 for the observed counter values or frequencies in order to obtain model values. The usual log-likelihood metric is then determined in step 84 by taking the logarithm of each model value. This has the advantage, that the model distribution do not provide 0-probabilities which causes difficulties when taking the logarithm.

Then the process is repeated starting with the accumulation of counter or frequency values.

It is possible to use only a subset of the detected symbols for channel estimation (sub-sampling) in order to trade-off complexity in particular high-frequency 5 performance against acquisition and tracking speed.

In the most specific embodiments, the branch metric for a transition is determined from  $L=2$  samples tantamount to two-fold oversampling. Some of the embodiments can easily be generalized to  $L>2$  samples.

As described earlier, the simplest method is to treat the  $L$  samples per symbol as 10 conditionally independent, when conditioned only on the same channel state. This leads to  $S^N Q$  different events and corresponding counter or frequency values. The frequency values 63 may be arranged in table form as shown in Fig. 6. The frequencies for one channel state 62 corresponding to an amplitude histogram are arranged in one row, whereas the frequencies belonging to one sample value 61 are 15 arranged in one column. The independence of the symbols leads to a sum of sample branch metrics  $BM(b, r)$  64 where each metric for a given sample depends only on the channel state  $b$  (trellis transition) and on the sample value  $r$ . The sample branch metrics 64 may be arranged in a similar form as the corresponding frequencies, as shown in Fig. 7. The overall branch metric  $BM_{tot}$  is calculated by 20 equation (2):

$$BM_{tot}(b, r_1, \dots, r_L) = \sum_{l=1}^L BM(b, r_l) \quad (2)$$

In equation (2) and in the following time dependence on discrete time index  $i$  is suppressed where possible. However, in reality, the two samples associated with one symbol (bit) are correlated with each other. Moreover e.g. noise-coloring in the 25 receiver and the fact that the real channel memory is actually larger than the model's channel memory (i.e. due to so called convolution noise) influence the correlation of samples. Unlike the ISI-caused correlation between samples of adjacent bits, which is implicitly accounted for in the trellis diagram, this correlation is neglected in the simple realization above: by adding the metric values of the two samples, which 30 corresponds to the product of their probabilities, the two samples are treated as

stochastically independent. This simplification is sub-optimal because any existing noise correlation is not exploited.

As shown in Kavcic00 and Kavcic98, it is possible to take noise correlation over several symbols into account.

5 However, in a fractionally spaced receiver of this invention the first step would be to start with taking the correlation between samples belonging to the *same* symbol into account, which is expected to be even more significant than the correlation between samples at farther distance. It is not necessary to assume any specific, e.g. Gaussian, form of the noise process, as it is implicitly accounted for in the 10 "measured" probabilistic channel model. With these modifications, the additive sample branch metric for a second sample  $r_2$  following a first sample  $r_1$  is additionally conditioned or made dependent on the value of the preceding sample  $r_1$ , in addition to the dependence on the channel state  $b$  and the value of the sample  $r_2$  itself. The overall branch metric  $BM_{tot}$  is calculated as the sum of a first sample branch metric 15  $BM_1(b, r_1)$  depending on the channel state  $b$  and the first sample  $r_1$  and a second sample branch metric  $BM_2(b, r_1, r_2)$  depending in addition on the second sample  $r_2$ :

$$BM_{tot}(b, r_1, r_2) = BM_1(b, r_1) + BM_2(b, r_1, r_2) \quad (3)$$

The first sample branch metric  $BM_1$  (reference numeral 66) may be arranged in table form as shown in Fig. 8. Reference numeral 65 refers to the first sample  $r_1$ . The 20 second sample branch metric  $BM_2$  (reference numerals 68 and 69) may be arranged in a three-dimensional structure as shown in Fig. 9. This means that second sample branch metric  $BM_2$  for a specific first sample  $r_1$  may be arranged in table form 68. (Q-1) other tables 69 are necessary to form the complete three-dimensional structure. Reference numeral 67 refers to the second sample  $r_2$ . In order to take the sample 25 correlation into account, it is possible to "measure" for the second sample  $r_2$  the amplitude distribution conditioned on the channel state 62, the value of the second sample 67 and on the sample value of the first sample. This leads to a significantly increased number of histograms in the phase-specific channel model shown in Fig. 9 of the second sample (Q amplitudes for the first sample times Q for the second 30 sample, as opposed to just Q in the simple scheme) and to a correspondingly longer accumulation period for the same statistical significance.

In order to reduce complexity, events may be defined by a channel state  $b$ , the first sample value  $r_1$  and the second sample value  $r_2$  requiring  $Q^2S^N$  counters. Both, the counter values and the resulting branch metrics may be arranged in a three-dimensional structure as shown in Fig. 10. This means that sample branch metric 5 BM for a specific first sample  $r_1$  may be arranged in table form 70. (Q-1) other tables 71 are necessary to form the complete three-dimensional structure. The advantage of this procedure is that the overall branch metric can be immediately looked up without the need for an addition. Probably less important is that  $S^N$  histograms equivalent to a table shown in Fig. 8 can be saved compared to the embodiment of 10 Figs. 8 and 9.

In order to further reduce the complexity of the approach illustrated in Fig. 8 and 9, the second sample value  $r_2$  could be conditioned only on a more coarse-grained first sample value: Rather than distinguishing  $Q$  amplitude levels for the first sample, only  $Q' < Q$  amplitude levels could be distinguished for the first sample. The case  $Q'=2$  15 would be the minimum, corresponding to a "tentative hard 'decision" on the first sample. In this case the channel model size for the second sample is only doubled. This leads to

$$BM_{tot}(b, r_1, r_2) = BM_1(b, r_1) + BM_2(b, R(r_1), r_2) \quad (4)$$

where  $R$  is the additional (conceptual) quantizer that maps the  $Q$  possible amplitude 20 values into the  $Q' < Q$  possible coarse amplitude values. It may be implemented by simply taking into account the most significant bit(s) of  $r_1$ . Also in this embodiment the second sample branch metric  $BM_2$  for a specific first sample  $r_1$  may be arranged in table form 72. (Q'-1) other tables 73 are necessary to form a complete three-dimensional structure as shown in Fig. 11.

25 Obviously, further correlation schemes are conceivable, as e.g. one talking correlation between samples of adjacent symbols into account (discrete time index necessary for clarity).

$$BM_{tot}(b, r_1[i], r_2[i]) = BM_1(b[i], R(r_2[i-1], r_1[i])) + BM_2(b[i], R(r_1[i]), r_2[i]) \quad (5)$$

In equation (5) discrete time index  $i$  was added for clarity.

Rather than using conventional branch metrics, which constitute logarithms of transition probabilities, branch metrics could be used, which are proportional to the transition probabilities. In the latter case branch metrics must be multiplied in order to find the most likely path. As a generic term for mathematical operations like 5 adding and multiplying "combining" is used.

In another embodiment a fractionally MLSD detects a fractional symbol for each sample provided by the ADC 13 which performs L-fold oversampling. In this embodiment each channel state is defined by a sequence of h precursor fractional symbols, a current fractional symbol having the value  $r_{i,j}$  and j postcursor fractional 10 symbols. In this embodiment the MLSD generates detected data  $u_{i,j}$  at a frequency L times higher than the symbol frequency. Under ideal circumstances all oversampled detected fractional data  $u_{i,j}$  within one symbol period and consequently having the same  $i$  should be equivalent no matter which value  $i$  has. When calculating the branch metrics from measured frequencies or counter values a model 15 may be used which takes into account that all fractional symbols belonging to one symbol should have the same value. In order to enforce that all fractional symbols belonging to one symbol are identical, the conditional probabilities for all transitions between a first fractional symbol and a second fractional symbol belonging to the same symbol may be set to 0 if the first and the second fractional symbols are 20 different and set to 1 otherwise.

In another embodiment intra-symbol transitions between different fractional symbols may be allowed. In this embodiment the MLSD 17 may be considered to provide soft decision results i. e. identical fractional symbols for more reliable symbols and differing fractional symbols for less reliable symbols. Actually a soft metric may be 25 defined by the number of fractional symbols having a value of 1 and belonging to a current symbol divided by the oversampling factor L. The final decision about a symbol is up to the FEC decoder, which may reverse symbol decisions in any embodiment in order to reduce the BER from typically  $10^{-4}$  after the MLSD to below  $10^{-12}$  required for data transmission.

30 The estimated "channel model" consists of a finite set of  $(S^N \cdot Q)$  branch metrics BM which may be arranged in table form as shown in Fig. 2b. There is one branch metric provided for every channel state and for every quantized data value  $r_i$  at the current

symbol. The branch metrics may be stored in a two-dimensional array and addressed by two indices one ranging from 0 to  $S^N-1$  and designating the channel states, the other ranging from 0 to  $Q-1$  and designating the quantized value of the current symbol. In another embodiment the branch metrics may be arranged in an 5 (N+1)-dimensional array. The frequencies, counter values or branch metrics may be arranged in memory in a similar form as the branch metrics i. e. in a 2-dimensional or (l+1)-dimensional array. More specifically the frequencies 63, the sample branch metrics 64 and 66 may be stored in a two-dimensional array, whereas sample branch metrics 68, 69, 70, 71 and 72, 73 may be stored in a three-dimensional array 10 for two-fold oversampling.

In another embodiment all data structures may be stored in one-dimensional arrays. The index of the array element storing frequencies, counter values or branch metrics is obtained by concatenating the channel state and the sample value(s).

In yet a further embodiment, each symbol defining a channel state may be used as 15 an index in one dimension. The arrays are (N+1) dimensional or (N+L) dimensional.

It is noted that from the frequencies or counter values which may be arranged in one or more data structures illustrated by Figs. 8 and 9, Fig. 10 or Fig. 11 the counter values of counters 14 to 21 of EP03004079.4 can be calculated by summing the frequencies  $f$  or counter-values over all channel states  $b$  for each digitized value  $r_{i,1}$  20 of first sample (Fig. 8 and Fig. 10) and by summing the counter values over all channel states  $b$  and first fractional samples  $r_{i,1}$  for each digitized value  $r_{i,2}$  of second sample (Figs. 9, 10 and 11). More specifically, in the case of Fig. 8 and 9 the following equations (6) and (7) may be used to calculate the counter values  $count_{1,r_1}$  of counters 14 to 17 of EP03004079.4 and  $count_{2,r_2}$  of counters 18 to 21 of 25 EP03004079.4:

$$count_{1,r_1} = \sum_b f_1(b, r_1) \quad (6)$$

$$count_{2,r_2} = \sum_{r_1} \sum_b f_2(b, r_1, r_2) \quad (7)$$

In the case of Fig. 10 the following equations may be used:

$$\text{count}_{1,r_1} = \sum_{r_2} \sum_b f(b, r_1, r_2) \quad (8)$$

$$\text{count}_{2,r_2} = \sum_{r_1} \sum_b f(b, r_1, r_2) \quad (9)$$

In the case of Fig. 11 the following equation may be used to calculate  $\text{count}_{2,r_2}$ :

$$\text{count}_{2,r_2} = \sum_{R(r_1)} \sum_b f_2(b, R(r_1), r_2) \quad (10)$$

5 From the latter calculated values a population difference parameter may be calculated in compliance with EP03004079.4 for controlling SPA circuit 15 in order to optimize the sampling phase.

In a similar fashion, by summing over all channel states and sampling phases if applicable for each digitized value  $r_1$ , counter values  $\text{count}_q$  for counters 51 to 54 of 10 subsets  $S_q$  of EP03009564.0 may be obtained from which a population difference parameter as described in EP03009564.0 may be calculated. In accordance with the disclosure of EP03009564.0 this population difference parameter may be minimized that the receiver control node 20 sets the AGC/VGA 12 to an appropriate i.e. optimized amplification. In the case of the embodiment of Figs. 8 and 9 equation 15 (11) may be used.

$$\text{count}_q = \sum_{r_1 \in S_q} \sum_b f_1(b, r_1) + \sum_{r_2 \in S_q} \sum_{r_1} \sum_b f_2(b, r_1, r_2) \quad (11)$$

In the case of Fig. 10 the following equation may be used:

$$\text{count}_q = \sum_{r_1 \in S_q} \sum_{r_2} \sum_b f(b, r_1, r_2) + \sum_{r_2 \in S_q} \sum_{r_1} \sum_b f(b, r_1, r_2) \quad (12)$$

In the case of Fig. 11 the following equation may be used:

$$20 \quad \text{count}_q = \sum_{r_1 \in S_q} \sum_b f_1(b, r_1) + \sum_{r_2 \in S_q} \sum_{R(r_1)} \sum_b f_2(b, R(r_1), r_2) \quad (13)$$

Assuming that the channel statistics is a correct model of the actual channel, the branch metrics derived from the channel model are used to detect the bit sequence.

In order to track the channel, the sample values and the detected bit sequence are used to measure the channel state conditioned amplitude statistics, i.e. a new channel model. In order not to overload the control node 20 and at the same time to optimize tracking capability, several model-updating strategies may be used. In the 5 simplest case the current channel model is used to detect the received bits for a period of time, called accumulation period 171 (see Fig. 13). During this accumulation period 171, new channel observations are made. After the observation period 171, the measured amplitude histograms are used to compute new branch metrics during a computation period 183. Finally, the new branch metrics are loaded 10 into the MLSD and the cycle restarts with accumulation period 191. Between accumulation periods 171, 191 and computation period 183 transfer delays 182 may occur. The period during which no acquisition takes place may be designated idle period which comprises the transfer delays 182 and the computation period 183. This cycle is called update cycle 170 (iteration, period, or interval).

15 To speed up the update of the branch metrics and to shorten the idle periods, the calculation of the branch metrics may be performed in an interlaced manner as shown in figure 13.

While the accumulation of count  $c_k(b, r_1, r_2)$  are accumulated in a accumulation period 171 in period k the branch metrics  $BM_{k-1}$  are calculated during calculation period 173 20 based on counter values accumulated during the previous period k-1. In the following period k+1 the branch metrics  $BM_{k-1}$  are used to detect the symbols and consequently to accumulate counter values  $c_{k+1}(b, r_1, r_2)$  during accumulation period 181. Simultaneously during computation period 183 the branch metrics  $BM_k$  are obtained based on counter values  $c_k(b, r_1, r_2)$ . These branch metrics will be used for 25 symbol detection during accumulation period 191. In this embodiment the idle periods 174 and 184 during which no accumulation is performed are significantly smaller than in an embodiment in which accumulation and metric computation are performed consecutively. An update cycle 170 comprises two periods e.g. periods k and k+1. In another embodiment old and new frequencies or counter values may be 30 combined using a forgetting factor. That means that the old data are weighted by the forgetting factor and the new data are weighted by (1-forgetting factor) before the weighted data are added to form the new data. The same procedure may be applied to the branch metrics rather than the frequencies or counter values the branch

metrics are calculated from. This saves resources since it is not necessary to save the old frequencies or counter values whereas the old branch metrics have to be saved anyway for the operation of the MLSD 17. Taking the logarithm is a non-linear operation. However, only small changes of the branch metrics are expected from 5 update to update. This justifies the application of a forgetting factor directly on the branch metrics.

In contrast to the embodiments of this invention, known FS MLSE receivers based on filter models of channels (e.g. US 5,313,495 and US 5,263,053) update the channel parameters in symbol time which requires more circuit resources. On the 10 other hand known FS MLSDs are employed in cellular telephone systems which do not operate at high transmission rates.

For channels impaired mainly by GVD and or PMD, channel acquisition is started from a starting channel model as shown in Fig. 15. These and the derived branch metrics are sufficient to acquire the correct channel model in a few update iterations. 15 This unique starting channel model is based on the observation that, with increasing dispersion, patterns of isolated zeroes and isolated ones show a "threshold crossing" behavior as shown in Fig. 14: e.g. for low dispersion, the maximum of the response 181 to an isolated one is well above a threshold of 0.5, whereas for higher dispersion and increased pulse broadening the maximum of response 182 remains 20 below the threshold. Consequently, the starting histogram for a detected sequence of 010 is chosen identical to a detected sequence of 101 as shown in Fig. 15. Moreover these identical starting histograms are chosen as almost symmetrical; they will then converge in the correct direction. The different starting histograms for each channel state are shown for each in Figure 15, where the arrows roughly indicate 25 the mean value of each histogram type.

For more general channels, a set of channel models may be required in order to ensure convergence of the acquisition procedure. Such an acquisition procedure is illustrated in Fig. 16. A suitable set of channel models is provided in step 202. It can be used e.g. in a try-and-error fashion as illustrated by steps 204 to 209 or based on 30 some auxiliary channel measurements e. g. based on next neighbor autocorrelation.

The starting channel model can be identical for the L=2 sampling phases. This does not only apply to the embodiment of Figs. 6 and 7, according to which identical

branch metrics are used for the first and second sampling phase, but also to the other embodiments of Figs. 8 to 11. If specific, non-symmetrical, starting channel models are used, it may be necessary to perform a try-and-error procedure for the L=2 different settings of the bit rearranging circuit, or to ensure a minimum (quasi-) 5 continuous phase adjustment setting at the begin of channel tracking.

Channel monitoring as illustrated by steps 204 to 209 may be performed as a part of the acquisition procedure in order to select an appropriate starting channel model. On the other hand channel monitoring can be an ongoing process during channel tracking in order to detect the need for a channel re-acquisition procedure. It is 10 based on several observables:

- LOS: When the PI signals LOS, channel is considered lost. A re-acquisition procedure is started once LOS clears in step 206.
- BER estimation: When the estimated BER is above a given threshold in step 207, a channel re-acquisition is started. A new channel/re-acquisition may be prevented, if a period of time  $t_{BER}$  since the previous reacquisition did not yet elapse. Before initiating the re-acquisition in step 204 a new starting channel model is selected in step 209.
- Channel Model Verification: The histograms of the channel model are monitored for pathological amplitude statistics in step 208. Before initiating the re-acquisition in step 204 a new starting channel model is selected in step 209. Some examples of model insanity indicators are:
  - Correlation between channel state 111 and 000 above a given threshold
  - Mode of 111 histogram below given threshold
  - Mode of 000 histogram above given threshold
  - Correlation of histograms with a uniform histogram above a given threshold

---

The (statistical) mode is the value where the probability distribution (histogram) has a maximum. The maximum of the 111 histogram is expected at medium to high

quantized amplitude level and the maximum of the 000 histogram at low amplitude levels. A histogram is uniform, if all bins have value 1/Q.

Optionally, signal statistics of the L samples per symbol are measured. These can be used for channel monitoring or to estimate channel conditions e.g. to distinguish 5 a high dispersion from a low dispersion case. In particular these are

- Measured values of the sample autocorrelation function  $R(0)$ ,  $R(T/2)$ ,  $R(T)$ ,  $R(3T/2)$ , relative to timing phase of first sample. E.g. for the case  $L=2$  we have:

$$R(0) = \frac{1}{N} \sum_{k=1}^N r_1[i]^2 \quad (14)$$

$$R(T/2) = \frac{1}{N} \sum_{k=1}^N r_1[i] r_2[i] \quad (15)$$

$$10 \quad R(T) = \frac{1}{N} \sum_{k=1}^N r_1[i] r_1[i+1] \quad (16)$$

$$R(3T/2) = \frac{1}{N} \sum_{k=1}^N r_1[i] r_2[i+1] \quad (17)$$

- Population difference parameter as per EP03004079.4
- Uniformity parameter as per EP03009564.0

15 In another embodiment, acquisition could further be achieved by a suitable explicit training sequence, especially employing critical or characteristic patterns such as isolated one (...00100...) or isolated zero (...11011...) i. e. 010 and 101 in the case of  $N=3$ . This could either substitute or aid the acquisition using predetermined starting histograms. Selection of starting histograms could be based on measured 20 estimates of the sample autocorrelation function values  $R(T/2)$ ,  $R(T)$ ,  $R(3T/2)$ .

Further modifications and variations of the present invention will be apparent to those skilled in the art in view of this description. Accordingly, this description is to

be construed as illustrative only and is for the purpose of teaching those skilled in the art the general manner of carrying out the present invention. It is to be understood that the forms of the invention shown and described herein are to be taken as the presently preferred embodiments.

02. Juli

**Claims**

1. A method for channel estimation for an optical receiver comprising:
  - 5 digitizing(13) an analog signal ( $\tilde{r}(t)$ ) representing a sequence of symbols ( $d_i$ ) thereby associating one digital word ( $r_{i,1}, r_{i,2}$ ) out of a plurality of possible digital words to the level of said analog signal at each sampling time (53, 54); a symbol period (51, 52) comprising at least two sampling times; each digital word corresponding to one out of a plurality of quantization levels (61, 65, 67);
  - 10 determining (17) the most likely sequence ( $u_i$ ) of said symbols ( $d_i$ );
  - 15 providing a branch metrics (64, 66, 68, 69, 70, 71, 72, 73);
2. A method for channel estimation comprising:
  - 20 digitizing(13) an analog signal ( $\tilde{r}(t)$ ) comprising a sequence of symbols ( $d_i$ ) thereby associating one digital word ( $r_{i,1}, r_{i,2}$ ) out of a plurality of digital words to the level of said analog signal at each sampling time (53, 54); a symbol period (51, 52) comprising at least one sampling time; each digital word corresponding to one out of plurality of quantization levels (61, 65, 67);
  - 25 determining (17) the most likely sequence ( $u_i$ ) of said symbols ( $d_i$ );
  - 30 counting (81) events; thereby obtaining a counter value for each event; each event being defined by a channel state (62) and a current digital word; each channel state being defined by a pattern of symbols relative to a current symbol determined at the time of said current digital word;
  - 35 characterized by
  - 40 fitting (82) a model distribution to said counter values; and

obtaining a branch metric (83, 84) on the basis of said fitted model distribution.

3. The method of claim 2, characterized in that a symbol period (51, 52) comprises at least two sampling times (53, 54);
4. The method of one of the claims above characterized by:
  5. counting each kind of events during said digitizing, each event being defined by a channel state (62) and a digital word out of said plurality of digital words; each channel state (62) being defined by a sequence of symbols; calculating a sample branch metric (64) for each kind of events; and calculating a branch metric by combining the sample branch metrics (64) for each digital word obtained at a sampling time (53, 54) during a symbol period.
  10. 5. The method of one of the claims 1 to 3 characterized by; each symbol period comprising a first (53) and a second sampling time (54); associating a first digital word ( $r_{i,1}$ , 65) at the first sampling time (53) and a second digital word ( $r_{i,2}$ , 67) at the second sampling time (54) to said analog signal;
  15. counting a first kinds of events, each first kind of events being defined by a first channel state (62) and a first digital word; each first channel state (62) being defined by a sequence of symbols comprising the symbol to which said first digital word is associated;
  20. counting second kinds of events, each second kind of events being defined by said first channel state (62), said first digital word and second digital word following said first digital word;
  25. calculating a first sample branch metric (66) for each first kind of event; calculating a second sample branch metric (68, 69) for each second kind of event;

calculating a branch metric for a second channel state (62) and a third and fourth digital word by combining the first sample branch metric (66) for said second channel state and third digital word and a second sample branch metric (68, 69) for said second channel state, said third digital word and said fourth digital word; said second channel state (62) being defined by a sequence of symbols comprising a symbol to which said and third and fourth digital words are associated.

6. The method of one of the claims 1 to 3, characterized by:

each symbol period comprising a first (53) and a second sampling time (54),

10 associating a first digital word ( $r_{1,1}$ , 65) at the first sampling time (53) and a second digital ( $r_{1,2}$ , 67) word at the second sampling time (54) to said analog signal;

15 counting first kinds of events, each first kind of events being defined by a first channel state (62) and a first digital word; each first channel state (62) being defined by a sequence of symbols comprising the symbol to which said first digital word is associated;

grouping said possible digital words into groups of digital words; associating a coarse digital word to each group of digital words;

20 counting second kinds of events, each second kind of events being defined by said first channel state (62), the coarse digital word associated to said first digital word and the second digital word following said first digital word;

calculating a first sample branch metric (66) for each first kind of events;

calculating a second sample branch metric (72, 73) for each second kind of events;

25 calculating a branch metric for a second channel state (62) and a third and fourth digital word, by combining the first sample branch metric (66) for said second channel state and said third digital word and a second sample branch metric (72, 73) for said second channel state (62), a coarse digital word associated with said third digital word and said fourth digital word; said second

channel state (62) being defined by a sequence of symbols comprising the symbol to which said third and fourth digital words are associated.

7. The method of claims 1 to 3, characterized by:

each symbol period comprising a plurality of sampling times (53, 54);

5 counting kinds of events, each kind of event being defined by a first channel state (62), and a digital word ( $r_{1,1}, r_{1,2}$ ) for each sampling time during a symbol period of a first symbol;

each channel state (62) being defined by a sequence of symbols comprising the first symbol;

10 calculating a sample branch metric (70, 71) for each kind of events; and

calculating a branch metric for a second channel state (62) and a second symbol by combining the sample branch metrics (70, 71) for said second channel state (62) and each digital word associated to said second symbol; said second channel state (62) being defined by a sequence of symbols comprising the second symbol.

15

8. The method of one of claims 4 to 7, characterized in that said sample branch metric is a logarithm of the count of the respective kind of events and combining of sample branch metrics is performed by adding same.

9. The method of one of claims 4 to 8 referring to claim 1, further characterized  
20 by:

fitting (82) a model distribution to the counts of each kind of events ;

evaluating (83) the model distribution for each kind of events in order to obtain  
one model value for each kind of events;

25 calculating (84) said sample branch metric for each kind of events using the  
respective model value.

10. The method of one of the claims above, further comprising:

recovering (14) the clock of the symbols; and

delaying (15) said clock in order to minimize the bit error rate of said digitizer by optimizing the sampling times during said digitizing (13).

11. The method as claimed in claim 10, wherein the delay of said clock is adjusted based on bit error rate estimates obtained from said most likely sequence ( $u_i$ ) of symbols ( $d_i$ ).
12. The method as claimed in claim 11, wherein the delay of said clock is adjusted in order to maximize a population difference parameter.
13. The method of one of the claims above, further comprising:
  - 10 adjusting the sampling times by delaying (15) said clock (33) by a delay being quasi-continuously adjustable within a range of half of a symbol period and performing discrete sampling time (53, 54) adjustment by rearranging (16) the sequence of digital words.
  14. The method of one of claims 2 to 13, characterized by:
    - 15 counting (181) each kind of events during a current accumulation period ( $k+1$ ), said channel state (62) being determined on branch metrics being calculated (173) during a previous accumulation period ( $k$ ); and calculating (183) branch metrics for determining the channel states during a following accumulation period ( $k+2$ ) while each kind of events is counted (181) during the current accumulation period ( $k+1$ ).
    - 20 15. The method of one of claims 1 to 13, characterized by:  
calculating (183) the branch metrics for determining the channel states during a following accumulation period ( $k+2$ ) as the sum of the branch metrics for determining the channel state during the current accumulation period ( $k+1$ ) weighted by a forgetting factor plus the logarithm of the respective count of events obtained (171) during the previous accumulation period ( $k$ ) weighted by one minus the forgetting factor.

16. The method of one of claims 1 to 13, characterized by:

calculating (183) the branch metrics for determining the channel states during a following accumulation period (k+2) as the logarithm of the sum of the count of events obtained during accumulation periods before the previous accumulation period (k) weighted by a forgetting factor plus the count of events obtained (171) during the previous accumulation period (k) weighted by one minus the forgetting factor.

5 17. The method of one of the claims above, characterized by:

10 defining a channel state (62) as a sequence of binary symbols which may be represented by "0" or "1"; and

setting the branch metrics for the channel states for isolated 0s and 1s i.e. "...11011..." and "...00100...", respectively, to identical values when initializing the branch metrics.

18. The method of claim 17, characterized by:

15 defining a channel state (62) as a sequence of binary symbols which may be represented by "0" or "1"; and

setting the branch metrics of channel states symmetrical to a considered symbol  $b_3$  i.e.  $b_1b_2b_3b_4b_5$  and  $b_5b_4b_3b_2b_1$  to identical values when initializing the branch metrics.

20 19. The method of claim 18 characterized by:

monitoring at least one of the following conditions:

a loss of signal output by the physical interface (11) is being cleared (206);

25 a bit error rate in said most likely sequence ( $u_i$ ) of symbols is still above a predetermined threshold (207) after a predetermined period of time after the initialization of said branch metrics;

pathological amplitude statistics are determined (208) comprising one of the following cases:

correlation between a only-1 channel state (62) and an only-0 channel state (62) being above a predetermined threshold;

mode of only-1 channel state (62) below predetermined threshold;

mode of only-0 channel state (62) above predetermined threshold; and

5 correlation of histograms with uniform distribution above a given threshold;

initializing (204) said branch metrics if one of the conditions above occurs.

20. The method of claim 19, characterized in that:

10 the branch metrics are reinitialized (209, 204) with different values than the values used at the previous initialization.

21. A symbol detector for an optical receiver comprising:

15 an analog-to-digital converter (13) for digitizing(13) an analog signal ( $\tilde{r}(t)$ ) comprising a sequence of symbols ( $d_i$ ) thereby associating one digital word ( $r_{i,1}, r_{i,2}$ ) out of a plurality of digital words to the level of said analog signal at each sampling time (53, 54); each symbol period (51, 52) comprising at least two sampling times; each digital word corresponding to one out of a plurality of 20 quantization levels (61, 65, 67);

a fractionally spaced maximum-likelihood sequence detector (17) connected to said analog-to-digital converter (13) for determining the most likely sequence ( $u_i$ ) of said symbols ( $d_i$ );

a channel model unit (19) connected to said maximum-likelihood sequence detector (17) in order to provide branch metrics (64, 66, 68, 69, 70, 71, 72, 73) to said maximum-likelihood sequence detector (17);

characterized in that

25 said branch metrics are obtained from frequencies (63) of digital words ( $r_{i,1}, r_{i,2}$ ) output by said analog-to-digital converter (13) and the symbols ( $u_i$ ) determined by said fractionally spaced maximum-likelihood sequence detector (17).

22. A symbol detector for an optical receiver comprising:

an analog-to-digital converter (13) for digitizing(13) an analog signal ( $\tilde{r}(t)$ ) comprising a sequence of symbols ( $d_i$ ) thereby associating one digital word ( $r_{i,1}, r_{i,2}$ ) out of a plurality of digital words to the level of said analog signal at 5 each sampling time (53, 54); each symbol period (51, 52) comprising at least one sampling time (53, 54); each digital word corresponding to one out of a plurality of quantization levels (61, 65, 67);

10 a maximum-likelihood sequence detector (17) connected to said analog-to-digital converter (13) for determining the most likely sequence ( $u_i$ ) of said symbols ( $d_i$ );

15 a channel model unit (19) connected to said maximum-likelihood sequence detector (17) for providing branch metrics (64, 66, 68, 69, 70, 71, 72, 73) to said maximum-likelihood sequence detector (17) and for counting events; each event being defined by a channel state (62) and a current digital word; each channel state (62) being defined by a pattern of symbols relative to a current 20 symbol determined at the time of said current digital word; a counter value (63) being associated to each event;

**characterized by in that**

20 said channel model unit (19) fits (82) a model distribution to said counter values (63) and obtains (83, 84) a branch metric (64, 66, 68, 69, 70, 71, 72, 73) based on said fitted model distribution.

23. The symbol detector of claims 21 or 22, characterized in that said analog-to-digital converter (13) performs two-fold over-sampling.

24. The symbol detector of one of claims 21 to 23, further comprising a clock 25 recovery subsystem (14) connected to the input of said analog-to-digital converter (13) for receiving said analog signal ( $\tilde{r}(t)$ ); said clock recovery subsystem (14) for recovering the clock of the symbols;

a sampling phase adjustment circuit (15) connected to said clock recovery subsystem (14) for delaying said clock in order to minimize the bit error rate of

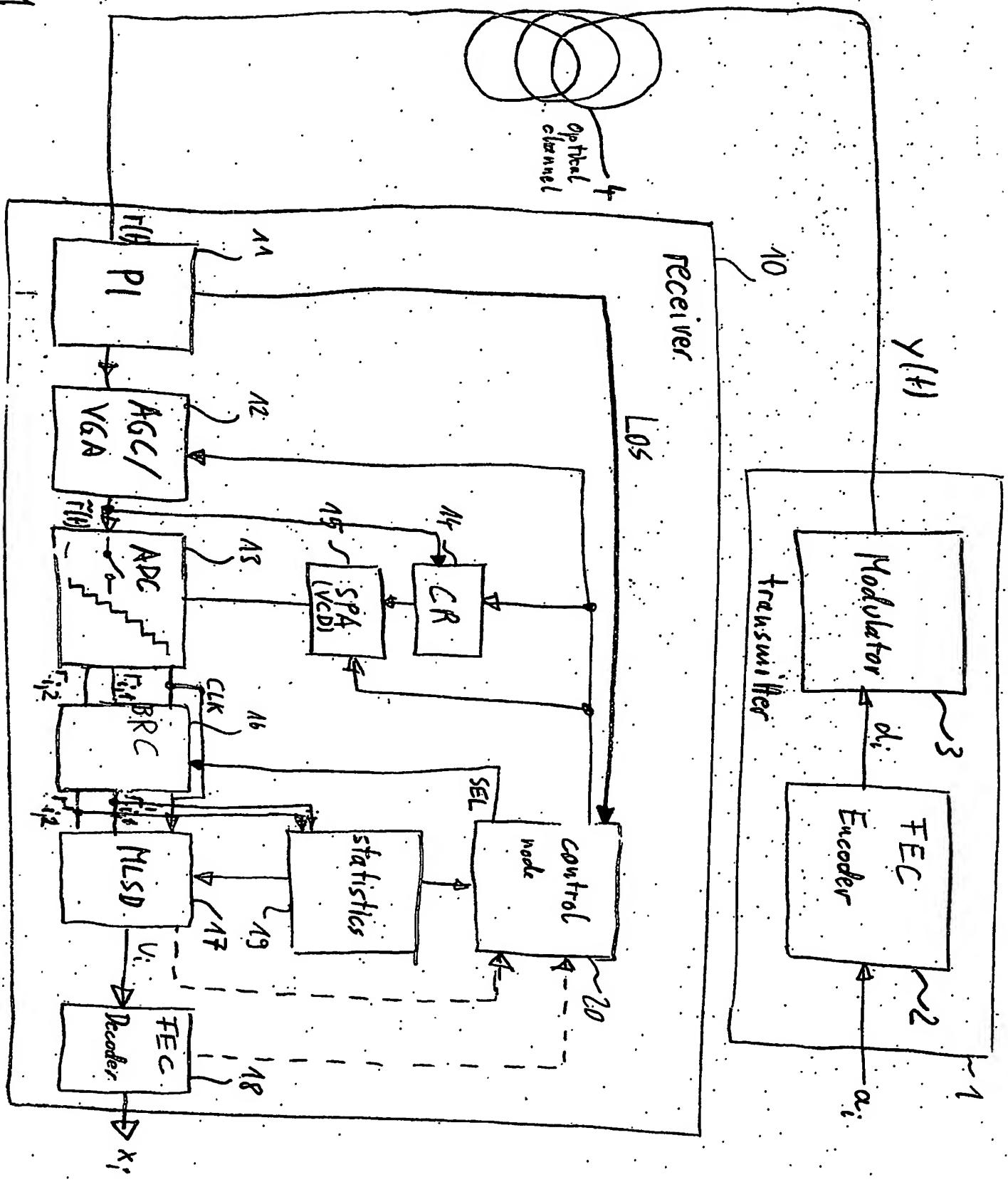
said symbol detector by optimizing the sampling times of said analog-to-digital converter (13); said clock recovery subsystem (14) being connected to said analog-to-digital converter (13) for providing said delayed clock to said analog-to-digital converter (13).

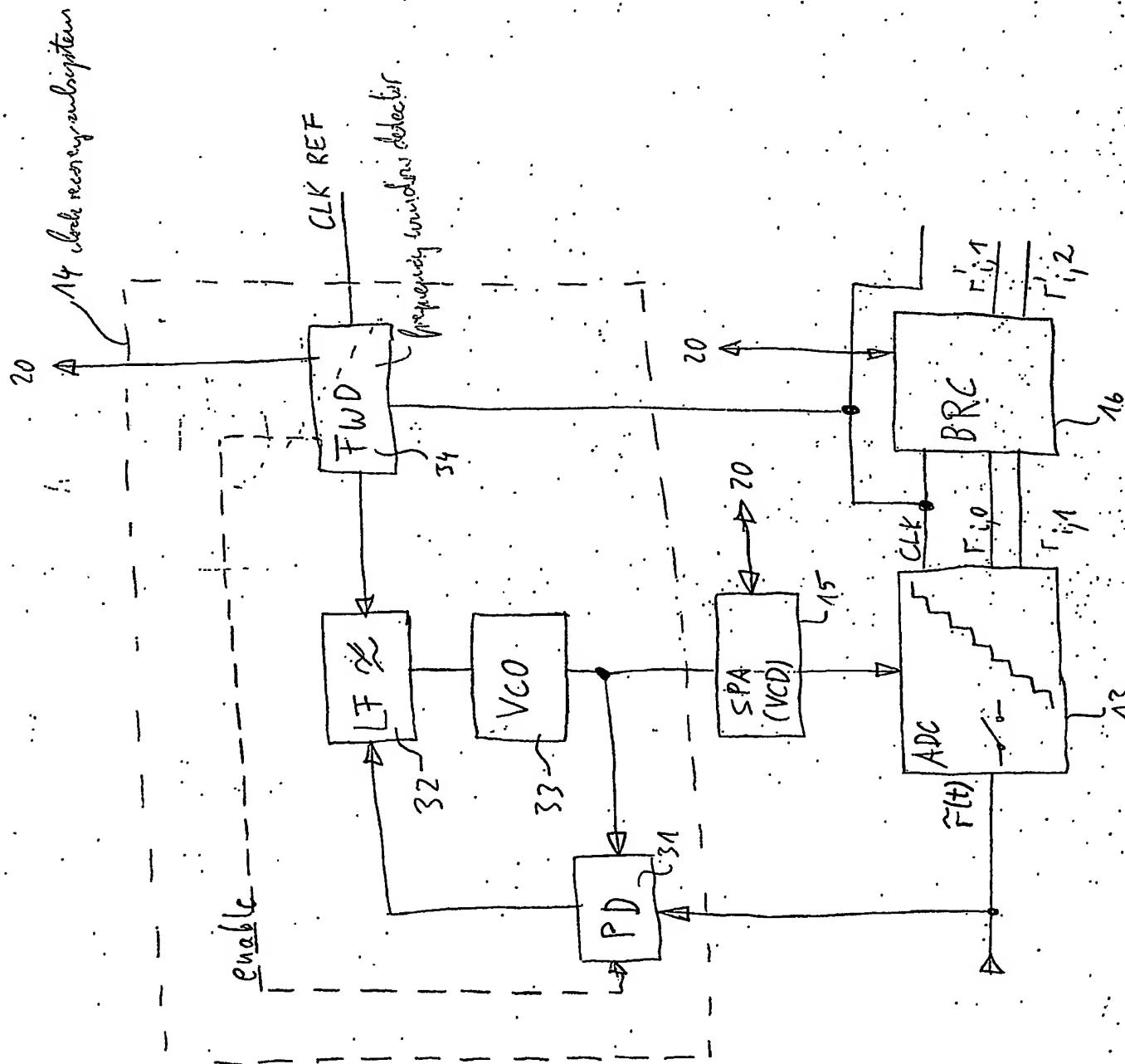
02 Juli 2003

**Abstract**

The invention relates to a method for channel estimation. The method comprises digitizing an analog signal representing a sequence of symbols thereby associating one digital word out to the level of said analog signal at each sampling time. The 5 most likely sequence of said symbols is detected. To this end a branch metrics is provided. According to one embodiment a symbol period comprises at least two sampling times. Moreover the branch metrics are obtained from frequencies of digital words resulting from a digitizing and the symbols of the most likely sequence. According to another embodiment a symbol period comprises at least one sampling 10 time. Events are counted wherein each event is defined by a channel state and a current digital word. Each channel state is defined by a pattern of symbols relative to a current symbol determined at the time of a current digital word. A model distribution is fitted to event counts and a branch metrics is obtained from the fitted model distribution. Moreover the invention relates to corresponding symbol 15 detectors for optical receivers.

Fig. 1





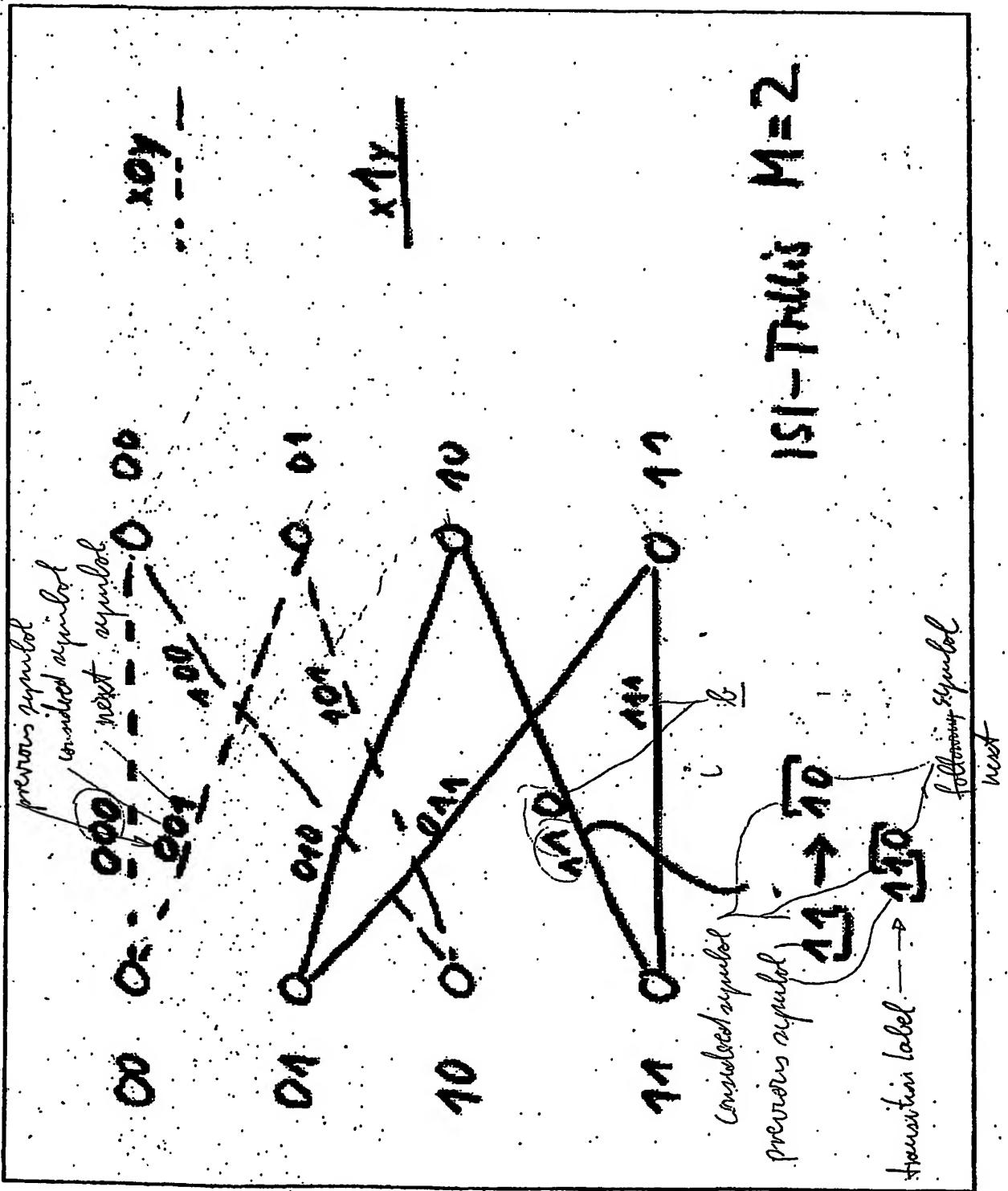


Figure 5: Trellis for ISI channel

## Branch-Metric

$$BM_{tot}(\underline{b}, r_1, r_2) = BM(\underline{b}, r_1) + BM(\underline{b}, r_2)$$

$$\widehat{BM}_{tot}(\underline{b}, r_1, r_2) = BM_1(\underline{b}, r_1) + BM_2(\underline{b}, r_1, r_2)$$

$$BM_{tot}(\underline{b}, r_1, r_2) = BM(\underline{b}, r_1, r_2)$$

$$BM_{tot}(\underline{b}, r_1, r_2) = BM_1(\underline{b}, r_1) + BM_2(\underline{b}, R(r_1), r_2)$$

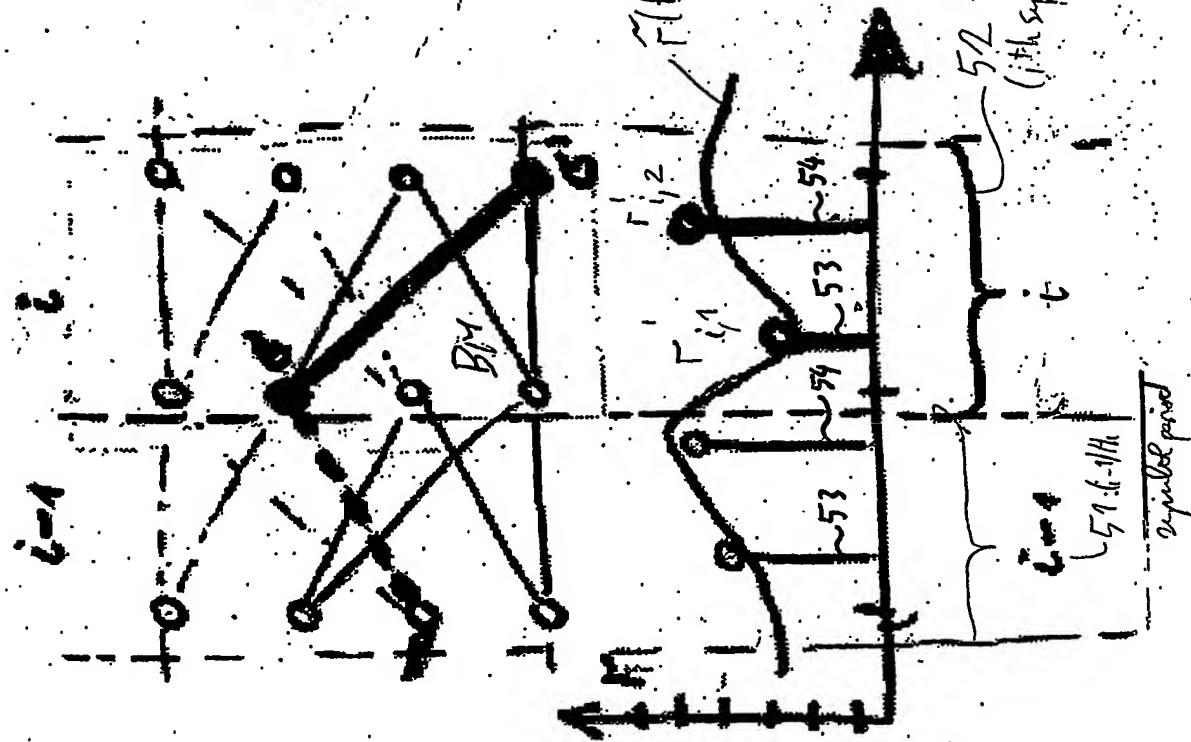


Figure 6. | Branch-Metric Computation |

61

channel state <u>b</u>	quantized data $r_1$ or $r_2$							
	0	1	2	3	4	5	6	7
<u>b</u> (0)=000	$f(0,0)$	$f(0,1)$	$f(0,2)$	$f(0,3)$	$f(0,4)$	$f(0,5)$	$f(0,6)$	$f(0,7)$
<u>b</u> (1)=001	$f(1,0)$	$f(1,1)$	$f(1,2)$	$f(1,3)$	$f(1,4)$	$f(1,5)$	$f(1,6)$	$f(1,7)$
<u>b</u> (2)=010	$f(2,0)$	$f(2,1)$	$f(2,2)$	$f(2,3)$	$f(2,4)$	$f(2,5)$	$f(2,6)$	$f(2,7)$
<u>b</u> (3)=011	$f(3,0)$	$f(3,1)$	$f(3,2)$	$f(3,3)$	$f(3,4)$	$f(3,5)$	$f(3,6)$	$f(3,7)$
<u>b</u> (4)=100	$f(4,0)$	$f(4,1)$	$f(4,2)$	$f(4,3)$	$f(4,4)$	$f(4,5)$	$f(4,6)$	$f(4,7)$
<u>b</u> (5)=101	$f(5,0)$	$f(5,1)$	$f(5,2)$	$f(5,3)$	$f(5,4)$	$f(5,5)$	$f(5,6)$	$f(5,7)$
<u>b</u> (6)=110	$f(6,0)$	$f(6,1)$	$f(6,2)$	$f(6,3)$	$f(6,4)$	$f(6,5)$	$f(6,6)$	$f(6,7)$
<u>b</u> (7)=111	$f(7,0)$	$f(7,1)$	$f(7,2)$	$f(7,3)$	$f(7,4)$	$f(7,5)$	$f(7,6)$	$f(7,7)$

FIG. 6

62

63

61

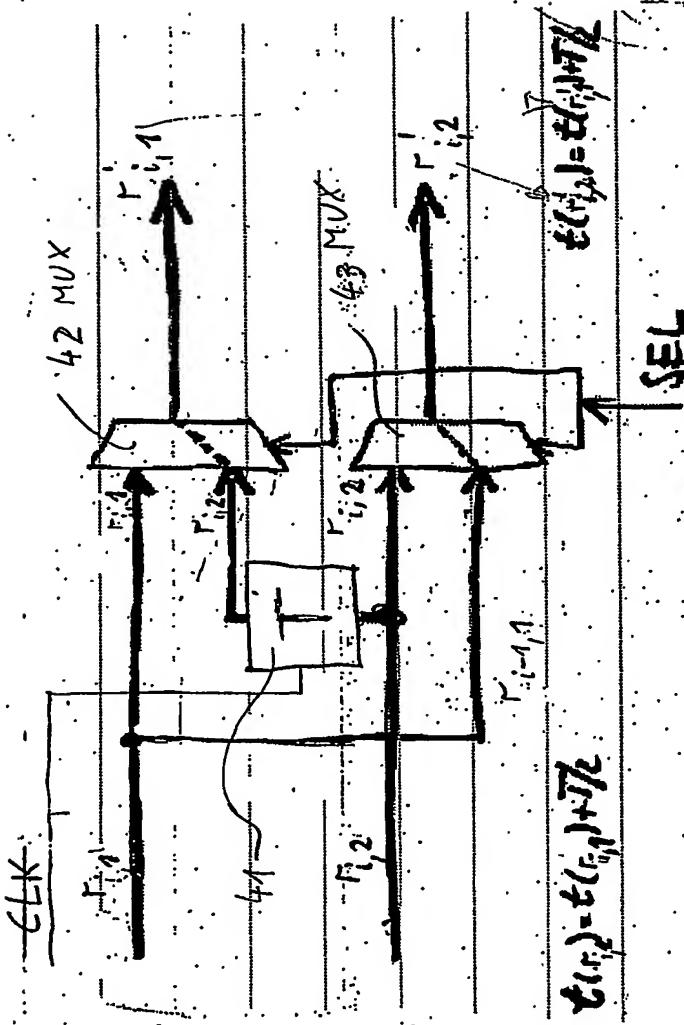
channel state <u>b</u>	quantized data $r_1$ or $r_2$							
	0	1	2	3	4	5	6	7
<u>b</u> (0)	BM(0,0)	BM(0,1)	BM(0,2)	BM(0,3)	BM(0,4)	BM(0,5)	BM(0,6)	BM(0,7)
<u>b</u> (1)	BM(1,0)	BM(1,1)	BM(1,2)	BM(1,3)	BM(1,4)	BM(1,5)	BM(1,6)	BM(1,7)
<u>b</u> (2)	BM(2,0)	BM(2,1)	BM(2,2)	BM(2,3)	BM(2,4)	BM(2,5)	BM(2,6)	BM(2,7)
<u>b</u> (3)	BM(3,0)	BM(3,1)	BM(3,2)	BM(3,3)	BM(3,4)	BM(3,5)	BM(3,6)	BM(3,7)
<u>b</u> (4)	BM(4,0)	BM(4,1)	BM(4,2)	BM(4,3)	BM(4,4)	BM(4,5)	BM(4,6)	BM(4,7)
<u>b</u> (5)	BM(5,0)	BM(5,1)	BM(5,2)	BM(5,3)	BM(5,4)	BM(5,5)	BM(5,6)	BM(5,7)
<u>b</u> (6)	BM(6,0)	BM(6,1)	BM(6,2)	BM(6,3)	BM(6,4)	BM(6,5)	BM(6,6)	BM(6,7)
<u>b</u> (7)	BM(7,0)	BM(7,1)	BM(7,2)	BM(7,3)	BM(7,4)	BM(7,5)	BM(7,6)	BM(7,7)

62

64

$$BM_{tot}(\underline{b}, r_1, r_2) = BM(\underline{b}, r_1) + BM(\underline{b}, r_2)$$

Fig. 7



3. Bit Synchronization  
Figure 4: Bit Synchronization Circuit

16

65

channel state $\underline{b}$	quantized data $r_1$				
	0	...	$r_1$	...	7
$\underline{b}_0 = 000$	$BM_1(0,0)$	...	$BM_1(0,r_1)$	...	$BM_1(0,7)$
...	...	...	...	...	...
$\underline{b}_s$	$BM_1(s,0)$	...	$BM_1(s,r_1)$	...	$BM_1(s,7)$
...	...	...	...	...	...
$\underline{b}_7 = 111$	$BM_1(7,0)$	...	$BM_1(7,r_1)$	...	$BM_1(7,7)$

FIG. 8

62

67

66

channel state $\underline{b}$	quantized data $r_2$ , $BM_2$ conditioned on $r_1=1$				
	0	...	$r_2$	...	7
$\underline{b}_0 = 000$	$BM_2(0,r_1,0)$	...	$BM_2(0,r_1,r_2)$	...	$BM_2(0,r_1,7)$
...	...	...	...	...	...
$\underline{b}_s$	$BM_2(s,r_1,0)$	...	$BM_2(s,r_1,r_2)$	...	$BM_2(s,r_1,7)$
...	...	...	...	...	...
$\underline{b}_7 = 111$	$BM_2(7,r_1,0)$	...	$BM_2(7,r_1,r_2)$	...	$BM_2(7,r_1,7)$

62

68

$$BM_{\text{tot}}(\underline{b}, r_1, r_2) = BM_1(\underline{b}, r_1) + BM_2(\underline{b}, r_1, r_2)$$

69

FIG. 9

channel state $\underline{b}$	quantized data $r_2$ , BM conditioned on $r_1=1$					
	0	...	$r_2$	...	7	
$\underline{b}_0 = 000$	BM(0, $r_1$ , 0)	...	BM(0, $r_1$ , $r_2$ )	...	BM(0, $r_1$ , 7)	
...	...	...	...	...	...	
$\underline{b}_s$	BM( $s$ , $r_1$ , 0)	...	BM( $s$ , $r_1$ , $r_2$ )	...	BM( $s$ , $r_1$ , 7)	
...	...	...	...	...	...	
$\underline{b}_7 = 111$	BM(7, $r_1$ , 0)	...	BM(7, $r_1$ , $r_2$ )	...	BM(7, $r_1$ , 7)	

$$BM_{tot}(\underline{b}, r_1, r_2) = BM(\underline{b}, r_1, r_2)$$

FIG. 10

62 7

channel state $\underline{b}$	quantized data $r_2$ , $BM_2$ conditioned on $R(r_1)=1$					
	0	...	$r_2$	...	7	...
$\underline{b}_0 = 000$	$BM_2(0, R(r_1), 0)$	...	$BM_2(0, R(r_1), r_2)$	...	$BM_2(0, R(r_1), 7)$	...
...	...	...	...	...	...	...
$\underline{b}_s$	$BM_2(s, R(r_1), 0)$	...	$BM_2(s, R(r_1), r_2)$	...	$BM_2(s, R(r_1), 7)$	...
...	...	...	...	...	...	...
$\underline{b}_7 = 111$	$BM_2(7, R(r_1), 0)$	...	$BM_2(7, R(r_1), r_2)$	...	$BM_2(7, R(r_1), 7)$	...

62

72

73

$$BM_{tot}(\underline{b}, r_1, r_2) = BM_1(\underline{b}, r_1) + BM_2(\underline{b}, R(r_1), r_2)$$

FIG. 11

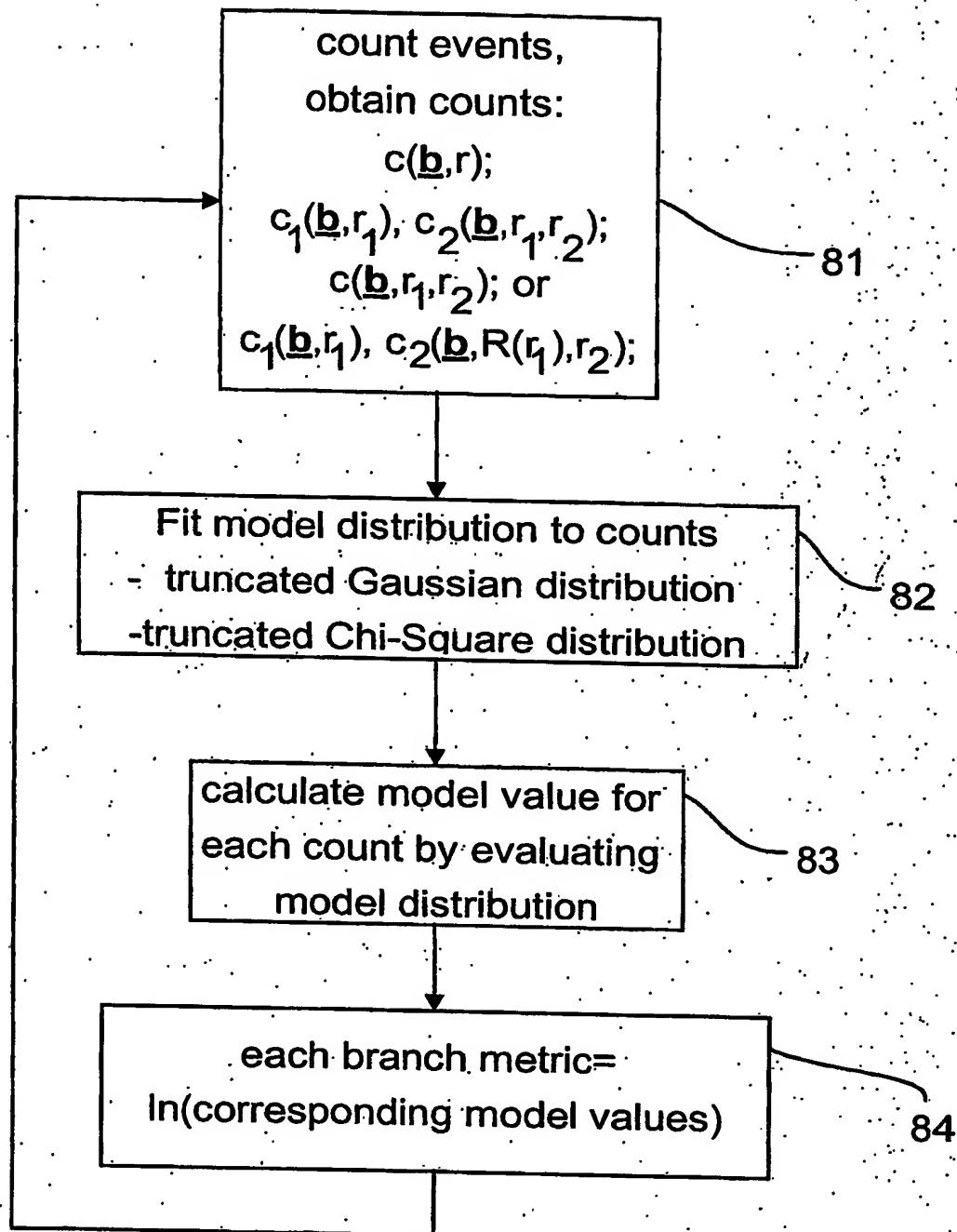


FIG. 12

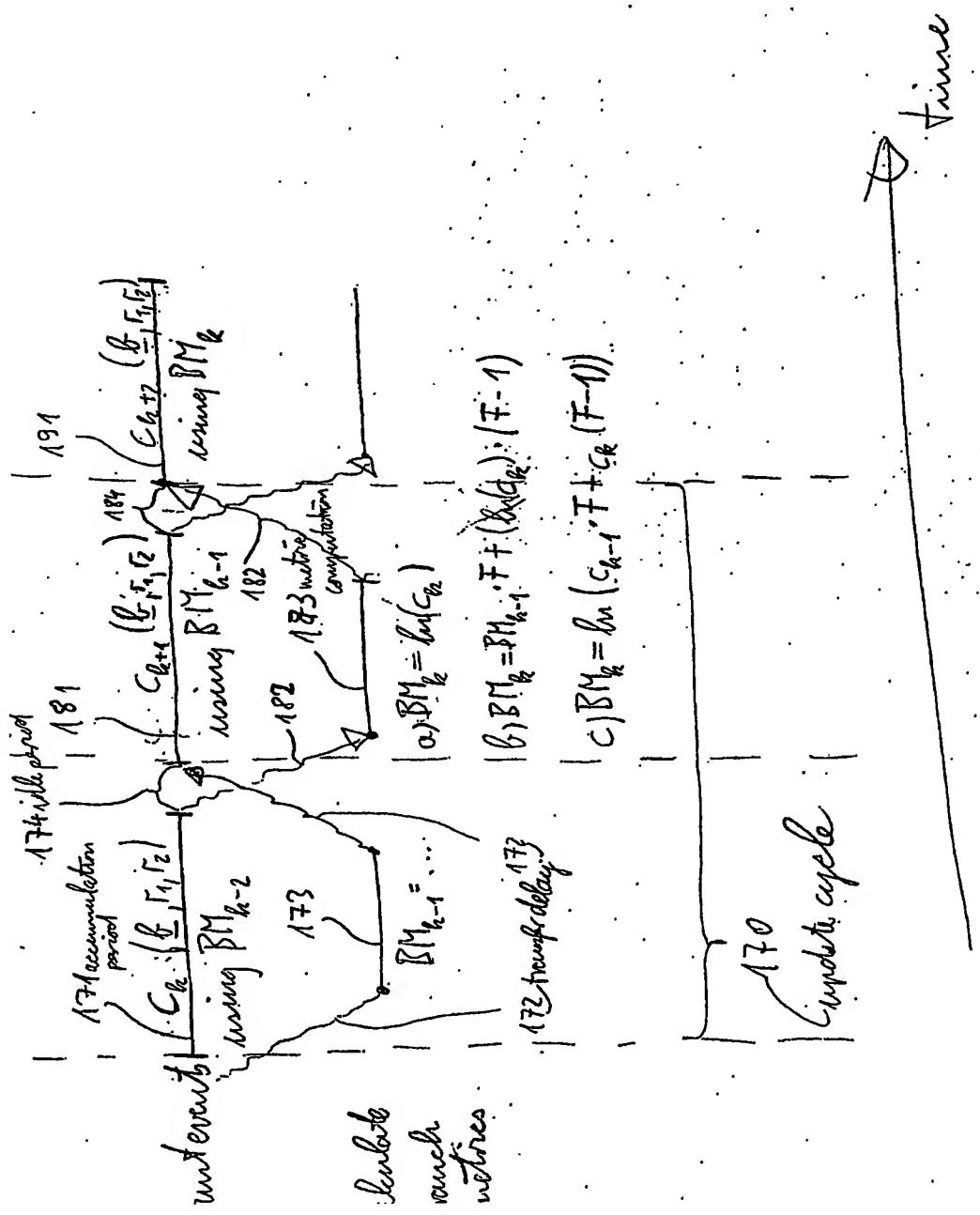


Fig. 13

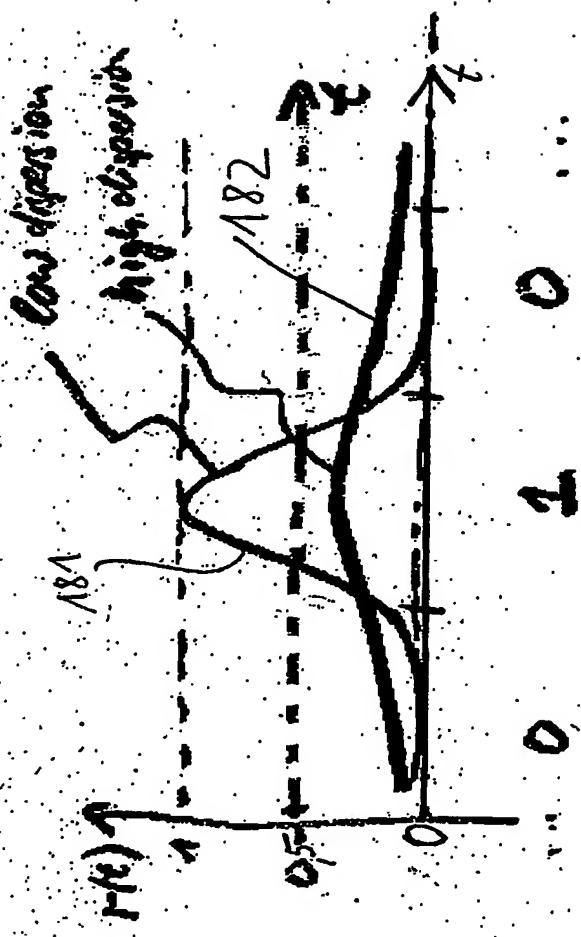
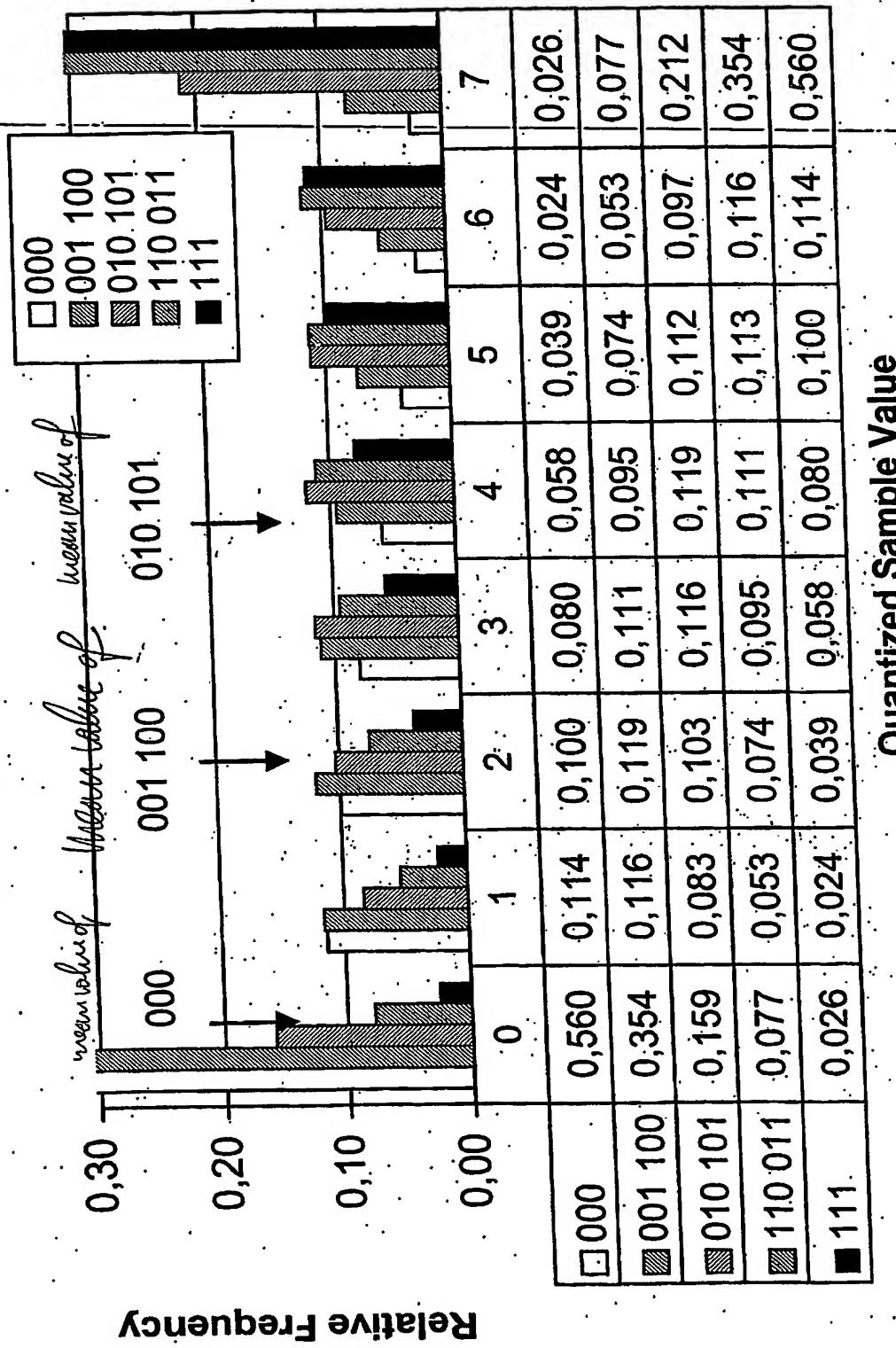


Figure 8. Level Crossing of Isolated Ones and Zeros

## Starting Channel Model



Quantized Sample Value

FIG. 15

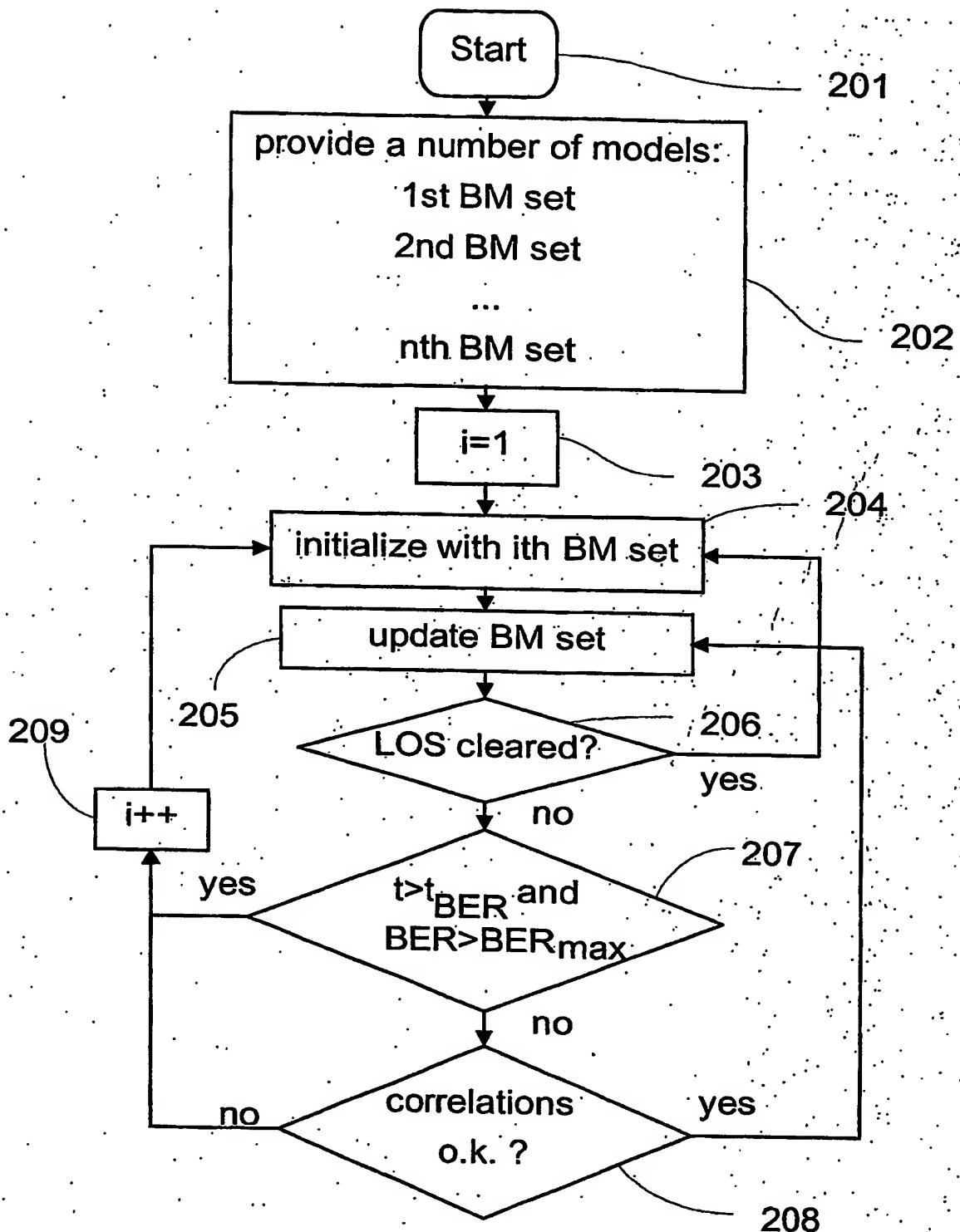


FIG. 16

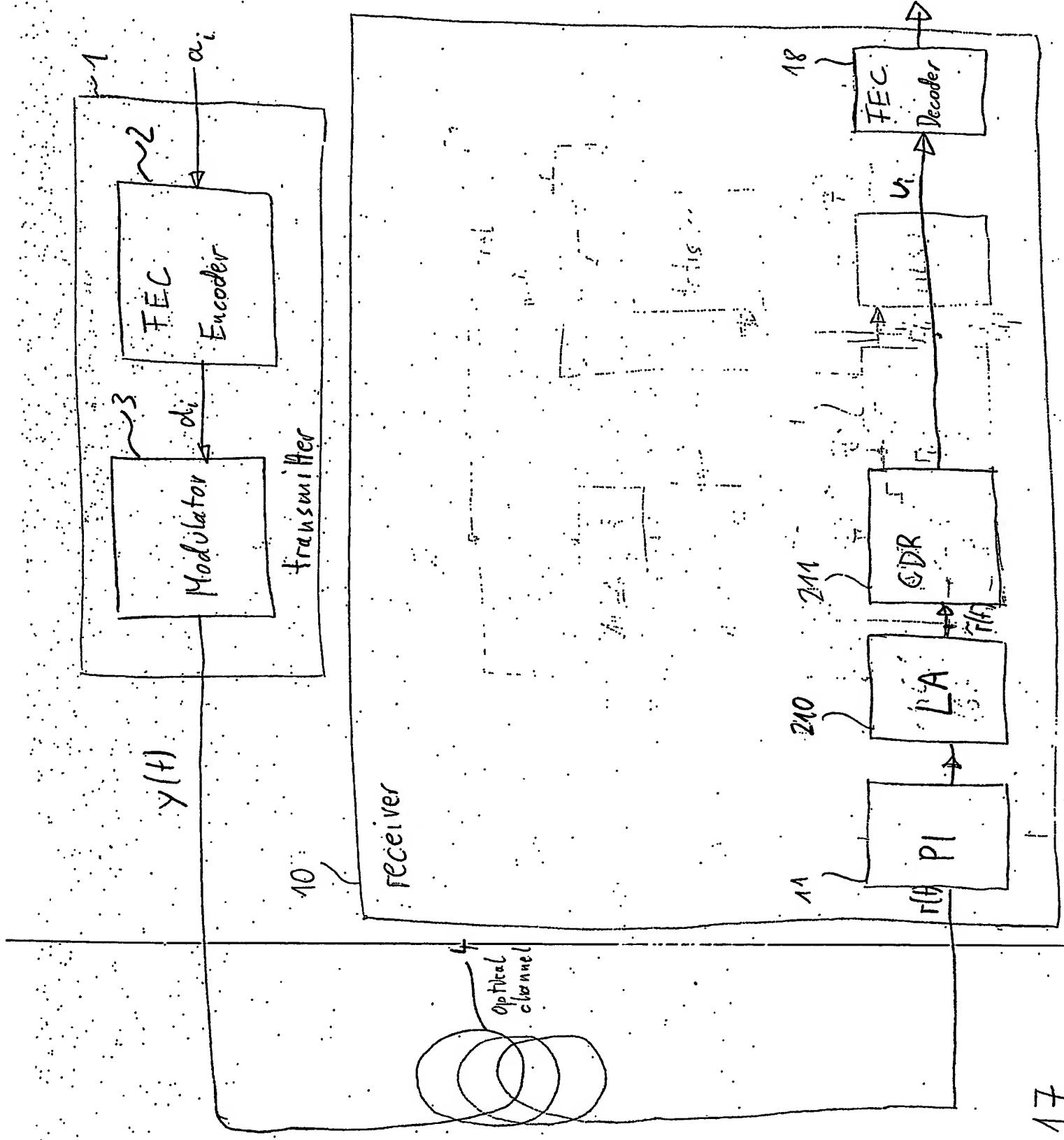


Fig 17

PCT/EP2004/007155



**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

**BLACK BORDERS**

**IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**

**FADED TEXT OR DRAWING**

**BLURRED OR ILLEGIBLE TEXT OR DRAWING**

**SKEWED/SLANTED IMAGES**

**COLOR OR BLACK AND WHITE PHOTOGRAPHS**

**GRAY SCALE DOCUMENTS**

**LINES OR MARKS ON ORIGINAL DOCUMENT**

**REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**

**OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**